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EDITOR  
ASSOC. PROF. DR. AYŞE ÇATALCALI CEYLAN

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# Chapter 1

## DAILY USE OBJECT DEPICTING IN IZNIK AND KUTAHYA CERAMICS: THE CHIBOUK

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## I. INTRODUCTION

The ability of the Ottoman ceramicist to compete in the ceramic market and to market many products in a wide area may differ depending on the material of the ceramic, the quality of workmanship, and the distance of the workshop to the sea or the city it is related to. The request for glazed and unglazed ceramics with red paste and the proximity of the workshops to the sea has revealed the fact that ceramics were transported to many different regions through the sea. The most suitable example for this is the products of Eyüp potters who produce in Istanbul. The distribution of these ceramics, notably on the Black Sea coasts, is considerably intense (Yenişehirlioğlu 2007, 360-361). Archaeological finds have determined that Dimetoka ceramics, which is another ceramic production centre, with some features similar to Çanakkale examples, were presumably loaded onto ships from Enez and distributed to many locations in the Ottoman geography<sup>1</sup>. Çanakkale is the most famous of the centres producing red paste ceramics<sup>2</sup>. The ceramics produced in the workshops here were transferred to many locations through the sea.

A different situation arises for the workshops that are not close to the sea and that produce with or without a single colour glaze. They principally produced at a level to meet the requirements of the nearby settlements around them. Therefore, the frequent requirement for monochromatic or unglazed ceramics in daily use has not been caused the potters to be seriously concerned.

The level of anxiety is higher for workshops that produce white paste and underglaze dyeing. The concern of being present in the market and competing with other domestic and imported products is much more than a workshop that produces monochromatic glazed or unglazed ceramics. This anxiety not only enabled the workshop to be at the top levels in the population it was in, but also caused it to be in the middle or at the end negatively. In fact, their failure in this struggle, and therefore the low demand for the products, led to the closure of the workshops after a while. At a time when Far Eastern ceramics were very influential in the Ottoman and its surrounding geography, the Iznik workshops, which could sometimes survive with the support of the palace, and the Kütahya workshops, which had a longer history than Iznik workshops with their own efforts, can be given as examples for this situation. It is plausible to see the effort that these workshops put into not extinguishing the of their kiln shaft in their composition choices. In the compositions of the 17th and 18th centuries Iznik and Kütahya ceramics, the figures that draw

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1 For further information about these ceramics, see Bakirtzis 1980, 147-153; Liaros 2018, 203-216.

2 For further information about these ceramics, see Öney 1971.

attention with the chibouk they hold in their hands cannot be shown only as a reflection of their competition for existence in the ceramics market. Hence, it is significant in terms of presenting a cross-section of Ottoman society' daily life in those centuries and gaining a documentary feature with their costumes and clothes. In this study, the composition changes of ceramics made in two production centres and the processing of chibouk, which are basic objects of the 17th and 18th centuries, in the composition will be discussed.

## II. WORKSHOPS, STYLE AND FORM

Many factors such as the belief system of the ceramic producing society and its economic situation, the positivity of its commercial and political relations with neighbouring societies and the technical skills of the ceramicists played a role in the composition selection of different types of ceramics.

The fact that the Byzantines, the owners of Anatolia before the Seljuks, were involuntarily in contact with the neighbouring Islamic countries became strict in every function and began to gnaw at the outer wall of the Byzantine civilization. The cultural accumulations of civilizations such as Abbasid, Karahanlı, Ghaznavid and Great Seljuk met in Anatolia (Öney 2007, 13-14). As R. Arık stated, the Seljuks “*provided the development of a new social and cultural formation and a new structure of art*” in Anatolia (2007, 73). With the Turkification of Anatolia together with the Seljuks, the change of ossified elements such as lifestyle, belief system and architectural identity for centuries accelerated, and the influences of Turkish-Islamic culture were observed in many handicrafts, including ceramics. While the Seljuk period underglaze painted ceramic tradition became the new taste of Anatolia with its unique decoration style, single and multi-coloured sgraffito decorated vessels continued to take their place in daily life with their decorations, which is sometimes similar and sometimes different. The production of red paste ceramics in line with the underglaze painted Seljuk style was continued in ceramic production centres such as Milet and Iznik during the Principalities and Early Ottoman Periods. After the ceramics of different techniques produced in the workshops in this region since the middle of the 14th century, more elaborate Milet type ceramics were produced in Iznik (Özkul Findık 2001, 12).

The stylistic changes in the palace muralist accelerated as the Ottoman Empire began to transform from a small principality to a state and expanded its lands both in the east and west. Particularly, the common style of artists from Tabriz gradually ended the free interpretation in underglaze painted ceramics of the Seljuk and later Principalities period. With the eastern expeditions that took place from the beginning of the

16th century, Chinese porcelains from a century ago were introduced to Istanbul, which was brought from Iran. The admiration of porcelain in the palace ensured that they were copied exactly. Since the middle of the first half of the 16th century, the sharp Chinese style, which led to a turning point in Ottoman ceramic production, began to soften with the blending of local motifs on the ceramic surface<sup>3</sup>. The Ottoman-specific designs of important mural workshops such as Şahkulu and his student Karamemi led to the emergence of a style that would be dominant in almost all handicrafts and whose influence would still have an impact on our day (Derman - Duran 2010, 283-284). In this sense, this period can be seen as the grafting period, just like the plant: It is like the blooming of colourful flowers on the stem by grafting native chibouks on a plant whose stem is adapted to Anatolian soils, but whose flowers are not liked. The style in which motifs such as tulips, carnations, hyacinths and roses are prominent, notably in tile designs, has inevitably been one of the main motifs of the composition in ceramics produced by tilemakers. The fact that the designs made by the palace were frequently used in the production of tiles did not push the masters of Iznik to the problem of choosing motifs. The motifs copied from the tile patterns were transferred to the surfaces of plates, and decorations were made in parallel with the mural workshops style (Carswell 1998, 78). The outlines of these decors are comprehensive, the colour fillings are very professional and flawless.

Beginning from the second half of the 17th century, the importance of the palace mural workshops decreased. The inability to build monumental structures and the further decrease in the demand for tiles hit the Iznik workshops financially. However, this negativity has created a more independent working environment for the Iznik tile producers. In this period, when the deterioration in workmanship began, the influences from the template of the palace style were balanced with their own style. With rare patterns, notably figured expressions have increased even more. The mural workshop design has succeeded in advancing beyond the usual templates with the objects they created and a limited number of figures, together with the motifs. In a way, the designs they created with their own imagination started to appear (Özüdoğru 1999, 93). Considering the figure compositions, it can be stated that the practices created by the master's imagination are the designs extended out of Ottoman geography (Raby 1989a, 284). This situation can also be regarded as the independent products of the masters who made tiles with the influence of prototype templates designed in the palace mural workshop (Turan Bakır 2007, 287). This development also caused other changes in the same workshop. Although traditional designs are maintained in tiles, the designs in ceramics have

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3 For further information, see Raby, 1989a, Raby, 1989b.

differentiated, therefore, the tile and ceramic arm have begun to diverge in the same workshop. With the interruption of the palace orders from Iznik, which became famous with the support of the palace, the fire of the workshop furnaces began to die out and the production came to a halt at the end of the century (Raby 1989b, 287-288).

Kütahya workshops, which endured in the shadow of Iznik for about 250 years and became more prominent since the 1700s, developed the new master of traditional underglaze painted tiles and ceramics (Turan Bakır, 1999, 13). The excavation finds have shown that the Turkish Period ceramic production in Kütahya had the same developmental period as the Iznik ceramic production. The similarity of composition properties as well as material properties of underglaze painted ceramics have produced in the early period of both production centres is a sign that the two centres are on the same line in terms of design (Şahin 1981, 261). Due to the dominance of Iznik, the accurate distinction of the 16th-century examples could not be achieved or, in other words, the identities of the ceramics relating to both production sites could not be adequately defined. This has caused many Kütahya output ceramics to be called Iznik output (Carswell 1998, 48).

Although the patterns of the masters from Iznik can be observed on the plates produced by the masters of Kütahya, the fact that the inner surfaces of the plates are filled more freely with figured decorations proves that these masters pushed the limits of composition. In other words, ceramicists from Kütahya quit the palace style completely and started to reflect their own identities more clearly on their ceramic surfaces in the 17th century. With the end of the Iznik tile industry, it can be stated that the distinction that has not been completely made for approximately 3 centuries has become clear; because the new administrator of white paste domestic production is now Kütahya masters and its new brand is Kütahya. This brand has also transposed into an international brand with European and Far Eastern ceramics, although the quality of workmanship has been discussed.

Before moving on to the pictorial features, briefly mentioning the stylistic features of these vessels will reveal the conclusion of the form in the compositional structure. On the rimmed plates designed in the Iznik style, the everted edge and the geometric or floral decorations on this side nearly form a circular frame for the picture on the inside of the plate<sup>4</sup>. The Kütahya plates, which are considerably smaller in diameter compared to Iznik plates, are mostly produced without edges. Therefore, the plates were produced without edges made the figured decoration in the centre of the plates begin to the fore even more. Since the rimmed plates are further shaped with approximately the same diameters, the smaller area to place

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4 For the variety of forms and surface division in composition in Iznik dishes, see Atasoy 1989, 37,43; E. Gökçe-C. Gökçe, 2017, 372.



the figure suggests that this type of plate is not preferred much in the use of figures.

The decorations on the everted edge of Iznik plates form a natural framework for the expression of the figure. The lines limiting the decorations on the edge are more obscure due to the floral motifs. The Kütahya plates with human figures are mostly borderless and the composition is limited with the lines. These lines are quite evident in the design. In types other than plates, for instance, in bottles, sometimes a circular area is created with blue lines and figures are placed inside this area. The male or female figures, almost completely standing, are usually in the centre of the composition.

### III. THE FIGURE AND CHIBOUK

The figured depictions can be exposed as a major phase of the change that has been begun in the second half of the 16th century in Turkish ceramic art in terms of composition. Rather than floral designs produced with available templates, mostly copied from tile designs, the prominent element in the decoration of ceramics was the figure. With a chronological examination, this change reveals an interesting feature: In Seljuk tiles and ceramics, within a free composition understanding, the use of figural arrangements, which are sometimes processed depending on certain rules or sometimes outside these rules<sup>5</sup>, have been shown a marked change after the Seljuk and decreased considerably. The fact that these were freely processed with stylistic differences after about 300 years in Anatolian ceramic art has been enabled us to consider a medieval breeze in the composition. Particularly on the rimmed plates, zigzag motifs created with lines and leaves on the wide edge, together with the large figures that cover the centre, make this consideration more powerful<sup>6</sup>. The figures that draw attention in the 17th century Iznik and 18th-century Kütahya examples are usually embroidered in traditional clothes. The clothes and accessories practised in these figures provide visual information about the fashion tastes of that period (Çobanlı-Kanışkan 2013, 106). From a pictorial point of view, there are sometimes obvious differences in the figures between Iznik and Kütahya ceramics. Sometimes, due to the similarities of the figures and the motifs on the border, it has been a focus of debate in which production centre these ceramics were produced. In this subject, G. Öney stated that many ceramics introduced as İznik were produced in Kütahya (Öney 2014). A master's depiction of another object that he shaped on the wheel and decorated with a brush on the surface of the ceramics obviously

5 For figured compositions on tiles and ceramics, see Arık, 2007; Karamağaralı-Yazar, 2007; Karamağaralı, 2007.

6 For examples, see Bilici 2002, 146-147, şek.9,11; Karamağaralı 2011, 381,Fot.56; Polat 2019, Tab.9, kat 5,7.

shows his effort and self-confidence to create different compositions. In addition, it conveys the ethnographic features of the period to us as a documentary (Özüdoğru 1999, 98).

Among the figured compositions, the *chibouk*, which is a prominent object in daily life in the 17th and 18th-century Ottoman social life, commonly found its place in the products of ceramicists from Iznik and Kütahya. Especially with the brushes of the artists from Kütahya, the chibouk has been provided with a completely different look than the real. Additionally, compared to Chinese or European porcelain, compositions practised with rough brush movements and the chibouk figures in these compositions sometimes create a comedic atmosphere. This characteristic can be interpreted as the reflection in the self-confidence of the Kütahya artists on the ceramic surface when their designs are compared with fairly standard European and Chinese compositions. Because there is a lot of interest in this domestic design. Considering that open-form ceramics such as plates are hung on the wall, and closed-form ones such as flasks are placed in the cupboards, which are natural exhibition areas in Anatolian residences, it can be assumed that figured ceramics are used as objects that decorate the architecture.

The floral decorations are now in the background due to the figure or figures in the focal centre of the design in the composition. They appear as decor that surrounds the figures or fills the space. The figured expressions, which constitute the content of our subject, smoking tobacco with a chibouk are a style of expression regarded not only in ceramics but also in clothing albums. The postures of these figures were repeated in the postures of the figures in Iznik ceramics. There is an artistic interaction between clothing albums and Iznik ceramics. The similarity of the objects held by the figures also augments the similarity of expression in the ceramics and clothing albums (Adıgüzel Toprak-Gökçe 2014, 95-96). This theme, which takes place in the works of bazaar painters and is repeated in ceramics, clearly reveals that the masters from Iznik and Kütahya closely followed the fashion of the period. Artists who came to visit the Ottoman Empire for different purposes often painted figures smoking tobacco with long chibouk in their hands. Although the compositional structure and the pictorial treatment of the elements in this structure differ, the chibouk has been a popular depiction object in the art of both eastern and western artists (Phot.1).



*Phot.1- Greek Women (Daniel Valentine Riviere) (İnankur 2014, 114).*

Undoubtedly, tobacco is the most important element that creates the narrative of figures using chibouk, while this element is almost ambiguous in the composition. The use of this substance is not unique to Ottoman geography. The cultivation and use of tobacco, which was brought to Europe by Columbus in 1492, began to become widespread in Europe in the 1550s and showed an incredible spread in about 50 years. At the beginning of the 1600s, its cultivation and use became widespread in Ottoman geography. Despite various prohibitions, the use of tobacco, which was seen as a source of income, increased even more since the end of the 17th century (Yılmaz 2012, 1). Although the objects made for smoking tobacco, which has become widespread in such a short time, are similar to each other in usual, they can also contain significant differences. European pipes, called the Western-type, are shorter because the chibouk and pipe are designed together. The chibouks and pipes of the set, which is called the oriental type and used in the regions under Ottoman rule, are separate from other types (Robinson 1985, 153-154; Süngü 2014, 11) (Phot.2). Although the pipes are made of materials such as wood, stone and metal, the most preferred ones were terracotta pipes. These pipes<sup>7</sup>, which were produced in all parts of the empire, are quite diverse with their shapes and decorations as well as their colours. There are also glazed examples of pipes with white, red, black, buff and red slip-on white (Bakla 2007, 130). The chibouk of these pipes was made longer and the smoking of tobacco was carried out by placing the pipe attached to the end of this long chibouk, generally on the ground.

7 For some examples, see Uysal 2007, 545-558; Ayhan 2011, 1-26; Vincez 2011, 43-53; Gaspar 2016, 259-284; İnanan 2017, 33-54; Khalil&Rudolfvna Gusach 2018, 227-266; Uçar 2019, 119-134; Şen & Karasu 2020, 413-440.



*Phot.2- Chibouk set (Bakla 2007, 179).*

Therefore, the object of smoking tobacco in the Ottoman Empire gained a more striking appearance than the examples in Europe. This object was regarded by Europeans as a symbol of pleasure in Ottoman geography. What attracted the attention of European artists and travellers was the size of the chibouks along with the local clothes, and figures using this object were often illustrated or described in the books. In some figured Iznik and Kütahya ceramics, which were exported to very different regions, figures using the pipes with their long chibouks were depicted, especially on the plates. As mentioned above, in these narratives, the pipes often lost their original appearance with the interpretations of the masters from Iznik and Kütahya. It is often difficult to distinguish the components of the smoking set, which consists of the mouthpiece, the chibouk and the pipe attached to the chibouk, within the narrative. Although the descriptions are caricatured, sometimes there is complete creativity in this cartoonish description. In other words, the narration is not just a figure in the centre and the concern of filling the gap created by sprinkling flowers on both sides of this figure. Considering the closer look at these pictures:

A figure stands in the centre of a 17th-century rimmed plate. This figure is depicted smoking tobacco with a chibouk in his right hand. The chibouk ends with a slight curve and has a conical bowl pipe at the tip (Phot.3) (Gökçe 2013, 44, Fot.13). There is a similar arrangement in the centre of another plate, which is also dated to the same century. The figure holding a chibouk with his right hand is smoking tobacco. While the smoke coming out of the pipe is indistinct in both examples, the elbow-shaped pipe at the end of the chibouk is thicker (Phot.4) (Gökçe 2014, 55).



*Phot. 3- Iznik Plate (Gökçe 2013, Fot.13). Phot.4- Iznik Plate (Gökçe 2014, Res.22).*

Although the expression on a plate with a border is similar to the common figured plates, there are some differences in the details. The floral motifs surrounding the figure and the edge are a repetition of the classical Iznik motifs. The figure in the centre, moreover, is immediately distinguished among the classic floral designs with its clothes and hair. Especially with the dog figure pulling on his dress, the expression reaches much further than the classical figures. The figure is smoking tobacco with a chibouk in one hand and holding a halberd in the other. In addition, it is distinctive from the classical Ottoman male figures in its clothes and hair type. The main striking feature of the composition is that it is desired to give a moment, not a pose/stance photographically. A chibouk and pipe are also practised in this narrative. The figure has drawn the smoke from the pipe with a chibouk and is depicted as giving the smoke from his nose. Unlike other examples with pipes, the fumes that come out of the combustion of tobacco on the pipe are also processed linearly. The vitality in the narrative is enhanced by the dog pulling on the figure's dress. The pipe, which has a distinct shape is yellow in colour<sup>8</sup>.

On another rimmed plate, the central female figure is presented to the right and holds a chibouk in her right hand. There is an elbow-shaped pipe at the end of the chibouk (Phot.5). The plate, which has an interesting theme among the Iznik ceramics, has a left-facing figure in the centre and an "S" shaped chibouk in his hand. The tip of the chibouk is curved inward and the pipe is not clear. Despite other examples, the chibouk was not drawn through to the mouth of the figure (Phot.6).

<sup>8</sup> For photograph, see [https://www.invaluable.com/auction-lot/-1-c-5E4416AAC1?utm\\_source=inv\\_kwalert&utm\\_medium=email&utm\\_campaign=keywordalertlive&utm\\_term=2\(08.11.2020\)](https://www.invaluable.com/auction-lot/-1-c-5E4416AAC1?utm_source=inv_kwalert&utm_medium=email&utm_campaign=keywordalertlive&utm_term=2(08.11.2020))



*Phot. 5- Iznik Plate (Gökçe 2014, 58). Phot. 6- Iznik Plate (Gökçe 2014, 58).*

A woman smoking tobacco with a chibouk is depicted on the inside of a rimless plate dated to the second half of the 18th century. The woman standing, with one hand on her waist, is holding a thin chibouk with the other. The pipe at the end of the chibouk has been transformed into a flower, losing its real appearance (Phot.7). The composition is similar on the other plate where a woman smoking tobacco is depicted with a chibouk in her hand. There is a red tulip-shaped pipe at the tip of a very thin chibouk. A certain part of the stem of the chibouk has been transformed into a flowering branch by being animated with fine-leaved flowers (Phot.8).



*Phot. 7- Kütahya Plate (Akalin-Bilgi 1997, 76);*





*Phot.8- Kütahya Plate (Akalın-Bilgi 1997, 76).*

On the body of a sugar bowl dated to the second half of the 18th century, the designer presented a completely different interpretation to the ceramic surface with a cartoonish and themed expression. On the ceramic surface, two subjects were treated with figures with similar outlines but different details, separated by a stylized horse figure. On the first, there is a young male figure holding a flower in his hand, and there is a young girl figure in a similar way. Compared to the other figures, a rather large bird figure between the two figures is directed towards the young girl with a flower in its beak. Therefore, two young lovers are caricatured and depicted in the narratives. There are some differences in the other expression on the ceramic surface. In this theme, a young male figure is depicted smoking tobacco with a chibouk. Compared to chibouks in other ceramics, the original shape of the chibouk is realistic. The chibouk is shown thicker and hollow, reflecting its original appearance and structure. The pipe at the end of this chibouk is again coloured red. As in the other narration, the bird almost carries a letter or news from a male lover to a young girl with a flower in its beak or symbolized by a flower, and filled with beautiful words (Phot. 9).



*Phot.9- Kütahya ceramics (Bilgi-Akalın 1997, Kat.No:72).*

One of the interesting depictions is also on the front of a flask. The standing figure, placed between two flower motifs in a circular area, is depicted with a chibouk. Like the lines that define the outline of the figure, the end of a rough surface, voluminous chibouk is bent upwards and ended with a linear conical-shaped pipe (Phot.10).



*Phot. 10- Kütahya flask (Bilgi 2006, 131)      Phot.11-Kütahya flask (Bilgi, 2006, 127)*

The composition on another plate, dated to the 18th century, is in classical form. In the centre of the composition is a female figure with flower motifs on both sides. This figure is holding a chibouk with her right hand. Even though the difference in terms of processing is not remarkable, the black contoured chibouk was left empty and the wood material of the chibouk was intended to be given. The pipe at the end of the chibouk is also indeterminate, as in some examples. The chibouk is terminated with two leaves painted red, pointing upwards and downwards<sup>9</sup>.

A remarkable arrangement in terms of the depiction of the pipe and the chibouk is also observed on a flask dated to the second half of the 18th century. The female figure, whose legs and the body was intended to be given from the profile, and the head was from the front, is reaching for a flower with her right hand on her waist and her left hand. The feature that makes this composition distinct from other figures using chibouks is the difference in the position of the chibouk. In other examples, the chibouks are mostly in the direction of the figure's gaze at a certain angle, while in this flask, an "S" shaped chibouk is positioned in the opposite direction. The lack of details also prevents the full understanding of the shape of the pipe attached to the chibouk end. According to other examples, a stylized elliptical element and the fumes dispersed from this element are delivered linearly on the element with a spherical form at the bottom and a conical form at the top. Considering these differences, is a highly disproportionately drawn hookah depicted rather than a pipe? It is difficult to achieve with certainty (Phot.11).

In the composition on the 18th-century Kütahya plate, the figure holds a chibouk with his right hand. The pipe at the end of the chibouk, which is

<sup>9</sup> For photograph, see [http://www.ceramopolis.com/?attachment\\_id=2069](http://www.ceramopolis.com/?attachment_id=2069) (08.11.2020)



animated with leaves, is quite efficient. The smoke coming out of the red pipe is linear in shape<sup>10</sup>.

In the 18th century plate, which was held simpler in terms of composition design, the figure holds a flower in one hand and a chibouk in the other. The chibouk and the pipe are simpler than the other Kütahya samples. The spherical shaped pipe is extremely obvious. In this example, the smokes coming out of the pipe are linear<sup>11</sup>.

In the composition, which is located on a rimless plate dated to the second half of the 18th century, there is a female figure holding a chibouk with her right hand in the centre. The chibouk, which has been given a linear and curved shape, has been terminated with a spherical pipe with a red-filled inside, the contours of which are also linear. The smoke coming out of the pipe is also leaf-shaped and red in colour (Phot.12).



*Phot.12. Kütahya plate (Bilgi 2006, Kat.114).*

#### IV.CONCLUSION

The figured expressions applying chibouk and tobacco, which are frequently revealed in a limited number of Iznik examples and 18th-century Kütahya ceramics, have a different place among white paste and underglaze painted ceramics. This tradition, which began in the 17th century

10 For photograph, see [https://www.auction.fr/\\_fr/lot/coupelle-de-kutahya-du-xviii-siecle-en-ceramique-siliceuse-a-la-laquo-jeune-7056487](https://www.auction.fr/_fr/lot/coupelle-de-kutahya-du-xviii-siecle-en-ceramique-siliceuse-a-la-laquo-jeune-7056487) (08.11.2020)

11 For photograph, see [https://www.christies.com/lotfinder/lot\\_details.aspx?intObjectID=5930893&lid=1&From=salesummary&sid=39b78352-abe7-440a-9ef0-c22e4d7ea032](https://www.christies.com/lotfinder/lot_details.aspx?intObjectID=5930893&lid=1&From=salesummary&sid=39b78352-abe7-440a-9ef0-c22e4d7ea032) (08.11,2020)

of Ottoman ceramics, can be shown among the free designs of ceramicists from both Iznik and Kütahya. Since the 17th century, the decrease in the demand for tiles caused the closure of Iznik workshops, which were able to survive with the support of the country, that produced ceramics as well as tiles. In the 17th and 18th centuries, porcelain/celadon from the Karak and Kangxi period reached Europe and the Ottoman geography widely. This negatively affected the production of objects composed in the domestic market. In the 18th century, the fact that porcelain was produced in Europe with its unique techniques and styles after the Chinese influence and these porcelains were sold to the Ottomans further reinforced this negativity. Although the workshops in Kütahya, which have inspirations/similarities to 17th century Iznik ceramics in their compositions, were attached between Far Eastern and European productions, they continued their production as the only international domestic brand after the closure of the Iznik workshops.

Comparison the 17th and 18th century Iznik and Kütahya ceramics with European and Far Eastern products in terms of material quality and decoration, it can be concluded that they were not very successful in this race due to some features. Their main achievement is to be the greatest representative of domestic production, with figurative expressions that dominate the composition, created with great self-confidence in the shop window or counter of the seller at a time when the interest in imported ceramics was strict.

One of the characteristics that present the Kütahya masters different in this race is their creativity in imitation. Their products may seem like a weak, sloppy, but more colourful child in a more colourful dress, in the face of very hard and mostly cobalt-coloured porcelain. At this point, they separated from the Far East and European porcelains and tried to present a regional section from *Asia Minor* with figures in local clothes on the surfaces of the plates. Although this presentation is discussed from a pictorial point of view, attempting to reflect sections from social life with considerably diverse and vibrant colours on the ceramic surface has made figural ceramics the most remarkable products in workshop showcases and shops. The figures smoking tobacco with a chibouk, which attracted the attention of local and foreign painters in the 17th and 18th centuries, have been transferred to the ceramic surface as a fashion. This transfer also reveals that the masters from Iznik and Kütahya researched what was liked and disliked in composition selection and shaped/changed their themes accordingly. The chibouk combination, consisting of a pipe, a chibouk and a mouthpiece, which were essential objects of social life in the 17th-18th centuries, is presented in a very caricatured way, as the other motifs that consist the composition. While the components of the

chibouk, which is the accent object of the design, are more noticeable in Iznik ceramics, in Kütahya samples, the pipe at the end of the chibouk is sometimes transformed into an unidentified flower, thus harmonizing with the flower motifs around the figure. Sometimes the chibouk that draws the smoke from the pipe is given in the form of a blossoming branch. Although the chibouks are prominent in some depictions, the mouthpieces on the tip of the chibouk cannot be discerned. Another documentary feature of the accounts of smoking tobacco with a chibouk is that they reflect the use of tobacco, which was common in every part of Ottoman society since the 17th century, regardless of gender. The objects that pictorially documents this situation is ceramics. On the surfaces of some ceramics, women's fondness for tobacco is emphasized in a cartoonish way.

The pipe, which is the chamber where the tobacco is placed, is quite certain in some ceramics. It is conceivable to see the tulip or lily-shaped form on the chibouks, terminologically. Although we cannot state for assured whether this shape was made by adhering to the shape of the pipe or the tulip, which is an influential motif in Turkish decorative art, we can assert that the classical tulip motif is not fully adhered to in other floral motifs. Reasonably since the drawing of the tulip-shaped pipe at the end of the chibouk was easy to make, its original form must have been adhered to. With these characteristics, the ceramics presenting sections of Ottoman social life in the 17th and 18th centuries have a documentary as well as artistic significance.

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# Chapter 2

## **AN EFFECTIVE WAY TO REACH THE CONSUMERS: DIGITAL ADVERTISING AND REMARKETING ADS**

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## INTRODUCTION

People have increasingly preferred to be online over traditional media in the last decade. Consumer behaviour, habits, and communication methods have altered as a result of this revolution in the media, particularly with the rise of Web 2.0. Today's world has evolved into a digital one. In this context, it is clear that people, particularly consumers, use the internet not only to connect, keep up with the news, and obtain the information they require, but also to fulfill their desires and needs through online purchasing.

The advertising industry has changed as a result of the advent of worldwide social media networks, the development of mobile devices and applications, and the concomitant growth in consumers' interest in digital. Google and Facebook are the main platforms that stand out in this environment. Advertising activities can be given to more precise target audiences in a personalized manner thanks to these platforms (Kantola, 2014). On the other hand, because the target audience's behavioural data can be accessed, more accurate advertising techniques can be implemented through targeting.

In the digitalized world, businesses are doing their utmost to reach and satisfy consumers in their target audiences. On this basis, it is critical to provide consumers with individualized advertising content and to create advertisements based on their preferences and interests. These actions are carried out by businesses on their websites in order to sell their products and distribute them to their target customers. Businesses utilize targeted advertising solutions to ensure that customers, who visit their websites but do not buy, make purchases, hence increasing traffic to the site and increasing conversions and sales. Retargeting or remarketing ads are one of the personalized advertising methods used in the digital age, and they are the centre of attention for many online marketers.

With remarketing adverts, businesses that want to attract and please customers make the required efforts to create customised advertisements that meet their wants and their needs. Consumers are now acting and behaving as digital consumers in an ever-changing and technologically advancing world. Interacting with consumers in digital and online environments is one way for firms to distribute their products to their target audiences.

## DIGITAL ADVERTISEMENTS

Since the availability of the Internet to end users in the 1990s, online advertising has become one of the most widely used techniques for reaching and attracting customers (Christino et al., 2020). One of the most essential ways to engage today's digital consumers is through online adverts, which are used to promote businesses' products and brands to consumers as well

as offer customised advertisements based on their behaviour. Businesses are adjusting their annual, monthly, and weekly strategies in order to have a presence on digital channels as the use of the internet grows. Online advertising, i.e. digital advertising, is becoming increasingly popular in this context as a means of reaching out to the customers. Unlike traditional commercials, information about customers can be easily obtained through digital advertising activities, and personalized products can be presented to them.

Online/digital advertising began with text-heavy advertisements that used websites to indirectly promote the advertiser's institution or group. Moving texts, which are presented on one side of the screen, and banners are the most popular digital advertising applications (Altinbasak and Karaca, 2009). Digital advertising, unlike traditional advertising, involves interaction with the target audience, and the target audience has the authority to control basic information. There is no interaction or mutual communication with the target audience, that is, the consumer, in traditional advertising, and the customer is exposed to the information presented to him unilaterally.

Marzan and Gonzales (2014) defined digital advertising as a type of marketing that makes use of the internet and the World Wide Web to provide marketing messages to customers, attract them to look, read, and ultimately develop a desire and interest to click the link. Digital advertising is also defined as advertising activity conducted via the use of electronic media and various media instruments. As with traditional advertising, the goal of digital advertising is to enlighten the target audience, arouse interest in the relevant product, and convert that interest into a purchase action (Trehan and Trehan, 2014). More audiences can be reached at a lower cost with digital advertising activities than with traditional channels, the target audience's behavior can be tracked more easily, and the advertising activities to be implemented can be presented quickly.

The advertising sector today benefits more than ever from digital methods, thanks to Google's remarketing approach, which was introduced in 2009. (Helft and Vega, 2010). This is Google's primary advertising service, and it accounts for more than 90% of the company's revenue. Google AdWords is a paid service that Google gives to its users in remarketing applications. It is vital to examine the data acquired in this context in order to better comprehend the importance of digital advertising practices.

Statistics on digital ads are as follows (Quoted by Yılmaz, 2021):

- Ads appearing in the first three ranks account for 41% of the clicks in the search results.

- The first-ranked ads have an average click-through rate of 7.94%. The overall percentage is 2%.
- When people want to buy something, 64.6 percent of them click on Google adverts.
- 70% of consumers dislike pop-up advertisements.
- The household products industry has the highest conversion rate on the display advertising network.
- Google accounts for 70% of all online searches.
- When purchasing online, 90% of customers trust reviews of products, brands or stores.
- Ads are more persuasive to buy now than they were two years ago, according to 91 percent of individuals.
- Google advertising have a conversion rate of 2.7 percent on the search engine and 0.89 percent on the display advertising network across all industries.
- The clicks on adverts account for 66% of the searches for purchases.
- Four out of five individuals leave instantly from a web page due to pop-up advertising or automatically playing videos.
- Businesses get \$2 for every \$1 spent on Google advertising.
- Users who come to the site through paid search advertisements have a 50% greater conversion rate than those who come via organic results.
- LinkedIn advertisements have brought consumers to 65 percent of B2B companies.
- Search ads can improve brand awareness by 80%.

Digital advertising and the importance of digital advertising activities are becoming increasingly important, as can be seen from the statistics provided. Displaying digital adverts to the target audience and reminding them repeatedly increases the sales rates of the products. One of the most significant benefits of digital advertising is that it provides statistical data such as the number of visitors, the number of ad clicks, the number of conversions, and which types of consumers are likely to purchase which products.

## REMARKETING

Remarketing is the general term used to describe the action of businesses reintroducing their products to customers after sales figures reflect a decreasing trend in the market. In other words, remarketing is the process of planning to improve sales in the event of a reduction in demand for a certain product in the market, making product announcements, re-launching the product, or making product changes. Remarketing is defined as the feedback and presentation of a product or brand advertisement to the same or new target audiences (Olga and Vlad, 2014).

Remarketing is a cookie-based marketing method that targets clients who have previously visited a website. The return/conversion rate of customers is quite high, since customers who have previously visited the web page are targeted for remarketing. Businesses can visualize their strategies for their customers according to the purchasing cycle using remarketing tools. This can be accomplished through social media or mobile devices (Kumar, 2020). Remarketing is used to target visitors to a website who are simply interested in seeing adverts but do not make a purchase. In this case, viewers who have previously seen the commercial are shown the advertisement again. This is the most fundamental aspect of remarketing.

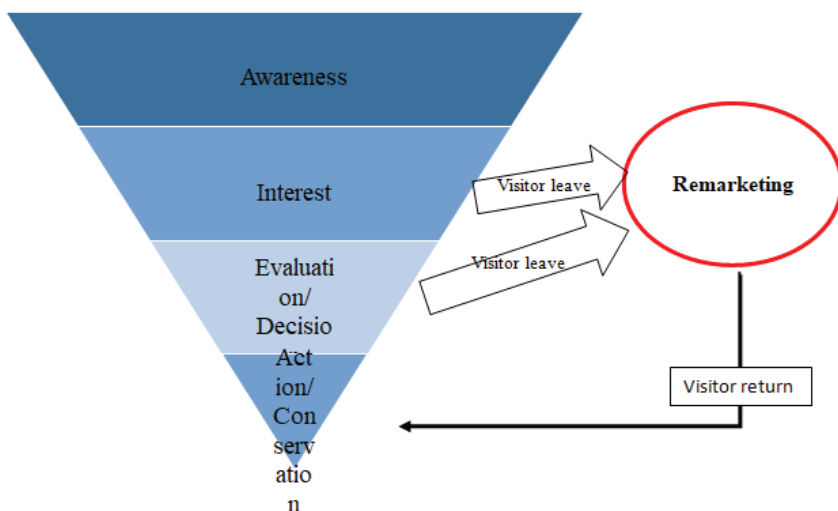
Remarketing, also known as retargeting, is a method of displaying tailored advertisements to users who have previously visited a website. Remarketing is the process of placing a cookie on a user's browser using Javascript, also known as a pixel. When the user performs an activity related to the products on the website or any page s/he looks for, the cookie installed on the user's page transmits information to the remarketing platform, which allows the remarketing platform to provide particular display advertising to the user (www.dynamicyield.com, 2021). These cookies are little text files that are stored on users' computers or mobile devices and are used to collect user profile information in order to improve the functionality of a website or for targeted advertising (Smit et al., 2014). As a result, the user is offered with visual reminders of a product or brand that he has previously visited. As a result of this, an action is taken for the user to purchase the product that he left the website without purchasing, together with these marketing advertisements. To put it another way, this strategy is utilized to limit the number of people who leave a page without purchasing a product.

As mentioned above, the goal of remarketing, which involves sending customers numerous reminders about items and brands shown in digital environments, is to get customers who have viewed a web page but have not made a purchase to return to that page. Google AdWords is

perhaps the most well-known of the remarketing platforms. Furthermore, Facebook has its own remarketing system (Anna and Vaisanen, 2018). Another purpose of remarketing is to attract visitors who have previously visited an advertiser's website or interacted with an application to return. Users who have already visited the website can be offered adverts that they are interested in, according to Ozen (2015). For example, thanks to the cookie information obtained from users who visit a website to buy a mobile phone, when the customer heads to another website, the customer can see the products of the previous website in the relevant category as advertisements. Alternatively, based on relevant search parameters, a client might be discouraged from visiting other sites by being offered with more inexpensive and enticing items.

The sales funnel should also be evaluated in order to better comprehend remarketing in digital marketing. The sales funnel is also referred to as the purchase funnel or conversion funnel. The processes that potential consumers will take before converting are the foundation of the sales funnel. The funnel visually represents the sales funnel, with each phase representing a possible customer (Adams, 2017). A sales funnel is a flowchart that shows how customers are tracked as they progress toward conversion. The records of the users can be followed numerically or proportionally at each phase of the flow. The number of layers in the sales funnel can vary depending on the remarketing ad model that is being used. The sales funnel is depicted in Figure 1.

**Figure 1.** *Sales Funnel*



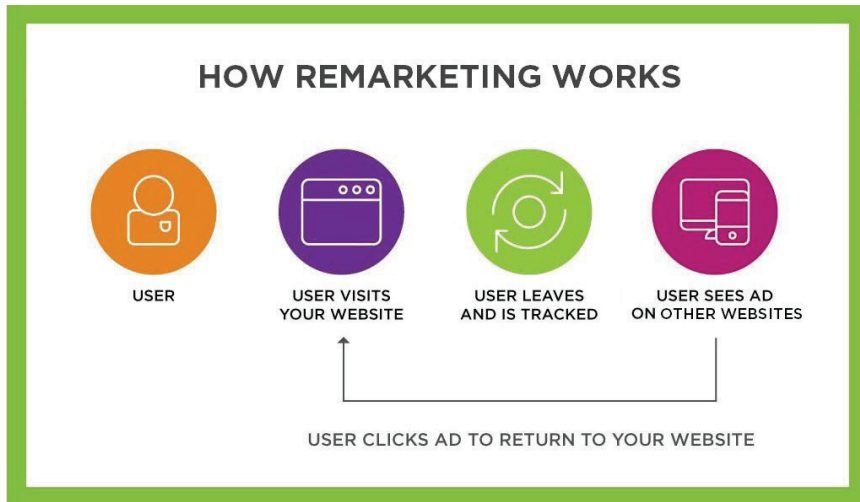
**Source:** Adams, 2017.

The awareness stage of the sales funnel is the initial phase. It's at the

top of the funnel because it's the largest of the group's potential customers. Before any transaction, potential clients in this group must be aware that a firm or product exists. This segment of potential clients learns about a company or product through seeing an advertisement on the internet. Interest is the second stage of the funnel. Customers think the product is attractive at this point, so they can click on the online advertisement or search for more information. Marketers attempt to persuade potential clients that the products they offer are necessary. Customers in the target audience are almost ready to buy the product and are open to communication in the third step, which is the evaluation or decision stage. Customers have added things to their shopping carts, and this is the final step before conversion. The job of the marketer in this step is to encourage the customer to convert. The stage where the buyer purchases the product is now the final step in the funnel. This is the narrowest region of the funnel and the stage with the smallest client base. Only a small percentage of those who have knowledge of the product make a purchase (Adams, 2017). Remarketing occurs in the second and third stages of the sales funnel, as shown in the diagram. Because clients are in the information acquisition phase, there is no method to track them in the first stage of the funnel. The relationship continues because the customer has already converted at the bottom of the funnel. As a result, remarketing is not really an option at these two stages. Because potential consumers in the second and third stages are undecided about whether or not to buy, remarketing is used to entice them back into the sales funnel and convert them.

### **HOW REMARKETING WORKS?**

When certain criteria specified for users visiting a business's web page are met, Remarketing works by placing cookies on visitors' devices. Obviously, this applies to consumers who visit websites and are interested in certain things, but do not purchase the product they are looking at. Cookie IDs are generated for site visitors and added to the target audience list of the business. Then, while browsing the web, users having a cookie ID in the target audience list are offered advertising for the product they were interested in previously (Carter, 2020). The process of remarketing is depicted in Figure 2.

**Figure 2.** *How remarketing works*

**Source:** [www.bluecorona.com](http://www.bluecorona.com), 2019

Step by step remarketing works like (Bowden, 2019; Carter, 2020):

1. Users visit your website, then leaves
2. Users browse other sites, and tracked by cookies
3. Users see your remarketing campaign on other sites
4. They are reminded of your website and click your ads to return your site
5. They complete actions and a purchase

### **TYPES OF REMARKETING ADS**

Remarketing ads are classified into several categories based on how they are used and the platforms on which they are displayed. Display remarketing, dynamic remarketing, search remarketing, mobile app remarketing, video remarketing, social media remarketing, Gmail remarketing, distribution list remarketing, and customer list remarketing are some of these options (Bowden, 2019; Yilmaz, 2020). These remarketing advertising techniques are briefly described below.

*Display remarketing:* This remarketing ad type is offered as part of the Google Display Network. The Google Display Network allows you to place adverts on Google's websites and connect them with your users online. As a result, you'll be able to reach your target audience with your display advertisements on over 2 million Google-owned websites.

*Search remarketing:* They are text advertisements that appear at the

top of search results pages for users who use search engines to look for a specific phrase or element. The target audience can be provided with personalised offers for the keywords they use in the search network with this form of ad. One of the most widely used digital advertising channels is this type of remarketing advertising. After the searches are made on the simply determined keywords regarding the products, the product-related advertisements can be displayed directly on the pages where the search results are listed, and the target audience can be easily reached.

*Dynamic remarketing:* This type of remarketing ad provides visitors adverts for the most recently seen products or services on the website or in mobile apps. In order to use this ad type, there must be active feedback. Since, in line with the information about the customers, a dynamic advertising campaign is carried out for the products of the advertiser instead of the customized banners for the customers. More effective results can be achieved thanks to dynamic remarketing, which takes remarketing to the next level.

*Mobile app remarketing:* It is a sort of remarketing ad in which ads are only shown on mobile apps and mobile websites. Today's prominent marketplaces rely heavily on mobile applications. Therefore, remarketing advertising applications used on the web are also used in mobile applications as a new way of interacting with the consumer, to increase mobile in-app interactions, to target users who use mobile applications, and to increase in-app purchases. Advertising on these platforms is an opportunity, especially for brands with mobile applications. As brands or businesses can interact with consumers in their target audiences with personalized ads in their favourite apps.

*Social media remarketing:* It is a type of social media remarketing ad that appears on sites like Facebook, Instagram, LinkedIn, Pinterest, and Twitter. Brands are able to communicate directly with consumers thanks to social media channels. Advertisements given to consumers who visit a business or brand's website while browsing social media accounts are an example of a social media retargeting advertisement. The target audience can be expanded thanks to the shares, likes, and comments of the target audience reached online with social media remarketing applications. Since consumers are constantly interacting on social media, remarketing advertisements can be used to reach out to potential clients. As a result, the brand personality develops, and opportunities for informing about new products and creating content offers arise.

*Customer list remarketing:* Lists can be created from contact information provided by customers on social media marketing platforms or Google Ads. When the people on these lists are logged in to Google or



any social media site, the ads shown on the page or social media platform they have opened are customer list remarketing ads.

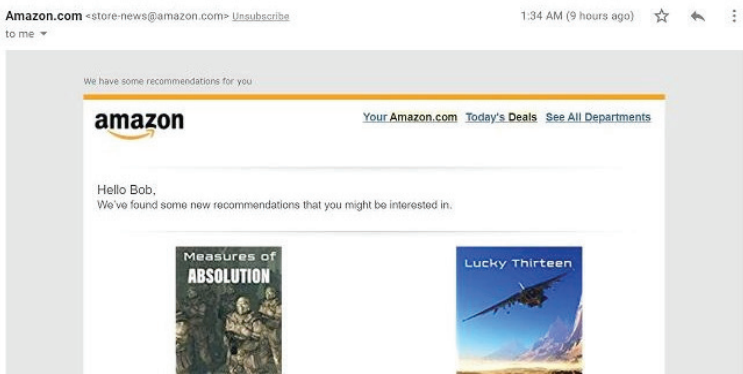
*Video remarketing:* It is a type of remarketing ad in which video adverts from other websites are displayed on these platforms in order to reach people who watch videos on sites like YouTube. Before a person can watch a video on YouTube, they must first watch an advertisement. This is a remarketing video ad. Remarketing advertisement application can be displayed to very large target audiences on YouTube, the second-largest search engine in the world after Google, and other video sites. Alternatively, companies and brands can create their own YouTube channel and engage with their target audience. Subscribers to the channel, as well as those who watch and view the product's advertising campaigns, can be easily contacted in this manner.

*Distribution list remarketing / Gmail remarketing:* It is a type of remarketing ad that's shown to people who registered for an email subscription. Gmail users are specifically targeted in remarketing advertising campaigns. Email is used to send video, visual, or any other type of content as an advertisement. The person who receives the advertisement in the mail can store it or forward it to another user who might be interested, allowing it to reach a bigger audience.

### **EXAMPLES OF REMARKETING ADS**

With a single sales effort, firms may get up to 161 percent returns on their sales funnels with Remarketing. Businesses should focus not just on remarketing ads, but also on the graphic styles and graphics of these ads. In order to create an effective remarketing advertising campaign, this detail must be considered. The first example is an email sent by Amazon to customers who visit the site but do not purchase the item they are interested in. In this application, Amazon sends an e-mail to the e-mail address of visitor directly about the product that he has not purchased or additional items connected to the related product (Smith, 2020). Figure 3 depicts an illustration of Amazon's remarketing application.

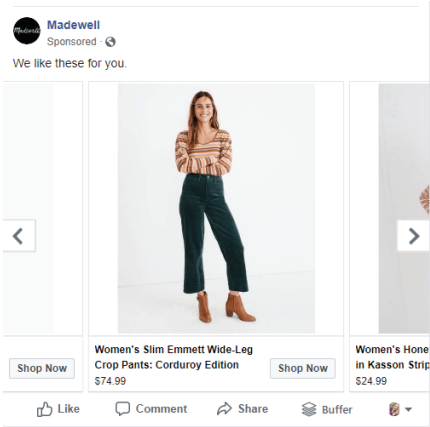
**Figure 3.** Amazon’s remarketing email ad



**Source:** Smith, 2020.

Madewell, a clothing manufacturer, has one of the most noteworthy examples of remarketing applications. Madewell employs retargeting advertisements on Facebook to re-engage site visitors and persuade them to buy. Madewell personalizes social media remarketing advertising based on site behavior and allows consumers to shop. Personalizing the advertising in this way makes it easier for the visitors of the page to purchase them and fosters brand loyalty among their customers. While Madewell’s social media personalized marketing makes it easier for customers to buy, it simultaneously demonstrates that the company is concerned about their needs and interests (Carter, 2020). Figure 4 illustrates Madewell’s remarketing ad application.

**Figure 4.** Madewell’s remarketing ad

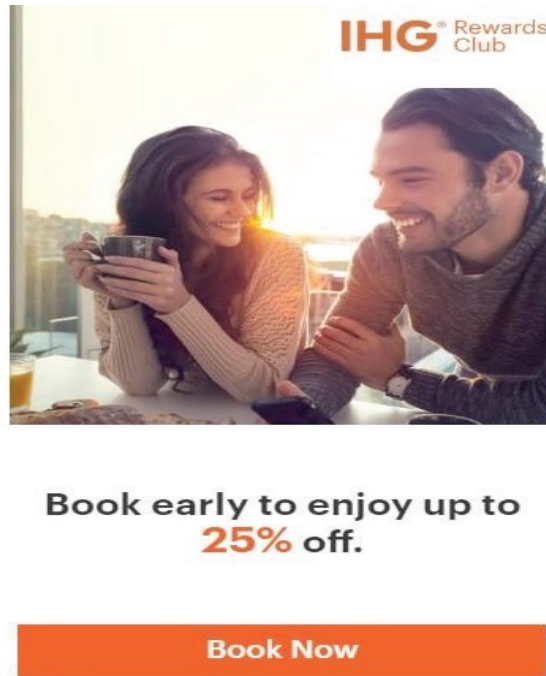


**Source:** Carter, 2020.

The commercials for the Intercontinental Hotel Group are an important example of remarketing methods that should be investigated (IHG). IHG

employs human faces in its remarketing advertising instead of pool or room imagery to promote the hotel amenities it offers. As a result, it creates the impression to its consumers that it offers a new way of life in terms of hotel services (Smith, 2020). Figure 5 shows an example of a picture utilized by IHG in their remarketing ads.

**Figure 5.** *Intercontinental Hotel Group's remarketing ad*



**Source:** Smith, 2020.

Retargeting ad of Spotify is another example. To reach visitors who are browsing other websites, Spotify employs classic video remarketing. Spotify's remarketing advertising applications frequently contain deals and discounts. Traditional users who have not yet purchased a premium package are attracted to Spotify's free promotions. The troublesome points are estimated in promotional type remarketing applications, and these promotions are recommended to users to address the problem (Carter, 2020). Figure 6 shows a retargeting ad from Spotify attempting to engage with users who have not yet upgraded to the Premium version. Thus, Spotify offers a free trial for users to join up for the service.

**Figure 6.** *Spotify's remarketing ad*

**Source:** Carter, 2020.

## **ADVANTAGES AND DISADVANTAGES OF REMARKETING ADVERTISEMENTS**

The advertiser should consider and plan the target audience for which remarketing will be used, which elements will attract the target audience's attention, how the interaction with the consumers will be carried out, and the frequency with which the advertisement will be posted when using remarketing advertising applications. Targeting should be done by taking into consideration data such as the visitor's last visit time, the product purchased or left without purchasing, the time spent on the website, the user's location, the language used, and the country (Blagorazumnaia and Muntean, 2014: 283). Communities in digital environments, in particular, have a cost-cutting benefit by widening the user interaction network (Saygin and Ersoy Arca, 2020). As the level of interaction rises, the chance to develop future applications arises as a result of obtaining feedback on the product and the remarketing ads in use.

The benefits of remarketing that can be carried out through Google Ads can be expressed as follows (www.support.google.com, 2021):

- **Accurate reach/Accurate time targeting:** Advertisements can be shown to interactors as soon as they are inclined to purchase them. Thus, Google may present ads to customers at the same moment, resulting in purchases at the correct time and to the right audience.
- **Focused advertising:** Users who have added a product to their shopping cart but have not made a purchase can be targeted with special remarketing adverts developed with personalized or customized advertising apps.
- **Large-scale reach:** Access can be provided to users in an environment with more than 2 million websites and millions of mobile applications. Thanks to remarketing ads, larger targeting can be done by reaching the number of users that cannot be reached with traditional advertising activities.

- **Effective pricing:** High-performance marketing campaigns can be provided to users with retargeting advertising thanks to simultaneous interaction and communication. The best price gain is obtained thanks to the simultaneous price offer, which provides the best offer for the user who has seen the advertisement.
- **Ease of creating advertisements:** Text, images, and videos to be used in advertisements can be created free of charge on platforms where remarketing advertising campaigns will be carried out. Integration with dynamic remarketing campaigns for products or services can be achieved in order to increase the effectiveness of the advertising campaign.
- **Campaign statistics:** Necessary statistical information regarding remarketing advertising campaigns is presented to the advertiser by the related platform. In this way, the advertiser can access information such as the performance of the ad, the places where the ad was shown, the money paid for the ad, and how many users in its target audience viewed the ad through the remarketing ad campaign it carried out.

Remarketing strategies include a number of advantages and disadvantages. One of these advantages is, without a doubt, increased brand recognition. The more a customer sees a brand, the more likely they are to recognize it in the future and purchase the brand they are familiar with. Another benefit of remarketing advertising is that a user who has visited a website but has not made a purchase would return to the site later. The likelihood of the customer purchasing the product has improved with this new visit. If there is no remarketing application, a customer who visits the site but does not make a purchase will not see the same advertisement again and will not be routed to the relevant site. Another benefit of remarketing advertising campaigns is that they are easier to implement. Since ads are targeted at those who are interested in the brand or product, they are more effective. Aside from the aforementioned benefits of remarketing, there are disadvantages, such as the frequent display of adverts and consumer unhappiness with this condition. Another disadvantage is that the same ad is shown over and over again to consumers who have seen an ad, clicked on it, and made a purchase. This is a nuisance to consumers. What needs to be done in this case is to create the proper segmentation for the remarketing ads that are being used. Thus, it becomes possible to show different ads to different users. Another problem with remarketing advertising campaigns is that buyers who click on the advertisement are hesitant to provide the information needed throughout the purchasing process. People do not accurately declare the requested information (age, gender, etc.) about themselves at this stage. The solution to this problem is to reassure visitors that the legislation will secure their personal information (Isoraite, 2019).

In addition to the advantages mentioned above, remarketing adverts can also bring the following benefits to businesses (As cited in Gurbuz et al., 2016):

- The inclusion of remarketing codes on various websites allows for the creation of a list of users who have browsed such sites. The target audience can be broadened in this way.
- Feedback costs can be reduced because customers who click and watch remarketing ads are more likely to give feedback.
- Consumers in the target audience can see advertisements for the brand or product of the relevant company while browsing any website.
- Since remarketing applications target consumers who visit or click on a website, other websites that consumers visit can also be tracked. Thus, the marketing strategies to be implemented can be reviewed.
- Remarketing advertisements are a system that enables businesses to reach their target audiences with personalized content.

## **CONCLUSION AND EVALUATION**

Remarketing/retargeting is one of the most effective forms of online advertising, and it yields positive benefits for advertisers. Remarketing not only satisfies the demands and needs of the target audience in terms of marketing activities, but also makes a significant contribution to marketers in areas such as awareness, customer participation, loyalty, and customer retention. Advertisers frequently prefer remarketing advertising applications in this context because they can reach a wider target audience and have a broad range of uses across numerous channels and platforms. Marketers and businesses compete to attract the attention of customers, especially in today's intensely competitive business environment. Therefore, a remarketing plan is required in order to achieve both tangible and intangible results, as well as a better understanding of consumers' demands and needs.

Retargeting ads are clicked 10 times more than display ads on average. Approximately 30% of consumers who have seen retargeting advertising have a positive opinion about the ads. Retargeting can boost ad interaction by up to 400%. The goal of using retargeting advertisements is to increase a company's brand income, gain new customers, increase the company's or brand's connection with customers on the website, and raise brand awareness (Costello, 2019). Aside from the mentioned main objective of remarketing ads, the subject that businesses concentrate on is, of course, selling their products. In this case, the frequency of visits to consumers is tracked via online remarketing adverts, and it is determined which product

or brand they prefer. Thus, more precise marketing techniques for the customers in the target audience can be implemented.

In summary, remarketing/retargeting advertising is a type of online behavioural targeting. Consumers are provided customized content based on their personal preferences, with the objective of completing the purchase activity. Businesses utilize this strategy in particular to target consumers who are interested in a brand or product but leave the website without purchasing anything. The main purpose here is to increase the purchase intention of consumers by reminding them of the existence of a brand or product with personalized applications (Doorn and Hoekstra, 2013). Remarketing ads are used as an effective digital marketing tool. However, businesses should remember that, in addition to being effective, there are factors that can increase consumers' purchasing intentions and create a positive consumer experience. Today's consumer profile, which we might define as a digital consumer, is constantly exposed to new technologies and is influenced by them. As a result, businesses should exhibit greater caution when employing digital marketing tactics to deliver their brands and products to target consumers and interact with them through these channels.

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# Chapter 3

**THE COVID 19 EFFECT ON FINANCIAL  
PERFORMANCE: RESEARCH ON BORSA  
İSTANBUL PAPER AND PAPER PRODUCTS,  
PRINTING AND PUBLISHING SECTOR BY  
WASPAS METHOD**

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## 1. INTRODUCTION

It can be said that the search for material to be written on with the discovery of writing has taken humanity to paper. The first material of written communication, which is thought to have started with the cave wall, also differed geographically and over time. Clay tablets were used in Ancient Mesopotamia, Papyrus in ancient Egypt, and Parchment in Rome and the Middle Ages. The closest examples to the paper were first found in M.S. It is generally accepted that it was in China in 105 (Güven et al., 2012, 46; Ekinci, 2019, 413). Depending on the development of civilization, the purpose of use and consumption of paper has also changed. Today, the raw material of paper is obtained from annual plants such as wood, jute, hemp, reed and waste paper in the form of cellulose, wood pulp, old paper pulp. It is the industrial paper sector that covers the process of transforming the raw material obtained from plants and wastes into paper by various mechanical and chemical processes. The sectors that paper and paper products are related to can be divided into two sub-sectors: the sectors they are related to in the production process and the sectors they are related to in the product input. The sectors it is related to in the production process are the forest products sector and the waste paper sector. The sectors related to the product input are the packaging materials sector and the printing and publishing sectors (Doğu Marmara Kalkınma Ajansı, 2020, 11-38).

Performance measurement is very important in terms of revealing the goals of the enterprise and showing the contribution of the process to the employees. The main purpose in performance measurement is to achieve the objectives set for each level of the enterprise (Martin, 1997, 435). Financial performance provides information about the financial situation of the business to the stakeholders who are the decision makers. The future decisions of managers, which we can describe as business stakeholders, the decisions of government institutions, the decisions of credit institutions to provide loans and the investment decisions of investors are affected by the financial performance of businesses. In enterprises with weak financial performance, cash flow from operations cannot meet current liabilities and pressure may be applied to the enterprise to take corrective measures by relevant stakeholders. There are many techniques in the analysis of financial statements. Among these techniques, the most used technique is ratio analysis, which has the highest popularity and functionality. Measuring financial performance and taking the necessary measures protect businesses from failures such as default, bankruptcy-executive proceedings and liquidation. For this reason, financial performance measures are needed to help determine the level of achievement of the financial goals of the enterprises. Multi-Criteria Decision Making (MCDM) methods can be used to support and choose the most suitable alternative among alternatives with

different characteristics according to incompatible criteria or to rank these alternatives according to their performance in line with the determined purpose (Hsieh et al. 2004, 573).

The aim of this research is to evaluate the impact of the COVID 19 process on the financial statements of companies in the paper and paper products, printing and publishing sector in Borsa İstanbul (BIST). To examine the impact of COVID 19 on financial statements, ratio analysis was applied to the financial statements published by companies in 2019 and 2020. The financial ratios which were used in this study are liquidity and turnover ratios, financial structure ratios and profitability ratios. These financial ratios were evaluated with the WASPAS method, which is a multi-criteria decision-making method. In the introduction part of the study, the importance and purpose of the study were emphasized. In the second part of the study, a literature review on the subject is given, and in the third part, the scope and methodology of the research is explained. In the fourth part, the research findings are shared and in the conclusion part, the subject is evaluated according to the research findings and suggestions are presented.

## 2. LITERATURE REVIEW

In the literature, the WASPAS method has been applied in the solution of many decision-making problems due to its convenience. Zolfani et al. (2013) proposed an integrated method based on SWARA and WASPAS methods for shopping mall location evaluation. In this study, SWARA was used to calculate criterion weights and WASPAS was used to evaluate potential alternatives. Zavadskas et al. (2013) evaluated the facade alternatives of four public and commercial buildings with WASPAS and ratio method, reference point method and MOORA (Multi-Objective Optimization on the basis of Ratio Analysis) method based on multiplicative system. Madic et al. (2014) made a multi-criteria economic analysis of various machine processes. For this purpose, machine processes were selected with the WASPAS method. Lashgari et al. (2014) listed the outsourcing strategies in health care and selected the best of these strategies with the Quantitative Strategic Planning Matrix and WASPAS methods. Chakraborty and Zavadskas (2014) have solved eight real selection problems that arise in production with the WASPAS method. Turskis et al. (2015) combined fuzzy set theory with WASPAS. In this context, fuzzy AHP and fuzzy WASPAS were used in site selection for a new construction project. Chakraborty et al. (2015) solved the parameter selection problems of 5 non-traditional machine processes with the WASPAS method. Zavadskas et al. (2015) solved the site selection problem for the waste incineration plant with a method called WASPAS-SVNS. Ghorabae et al. (2017) proposed solutions for MCDM problems based on CRITIC and WASPAS

methods using interval value type 2 fuzzy sets. Mathew et al. (2017) used the WASPAS method in the selection of industrial robots.

### 3. SCOPE AND METHODOLOGY

#### 3.1. Scope

As of 2021, 13 companies listed in the BIST paper and paper products, printing and publishing sector (KAP, 2021). The data and information used in the study were obtained from the public disclosure platform and the investor relations sections on the web pages of the companies. BIST paper and paper products, companies operating in the printing and publishing sector are within the scope of the research, and these companies are given in Table 1.

*Table 1. BIST Paper and Paper Products, Printing and Publishing Sector Companies Analyzed Within the Scope of the Research*

Number	Code	Company
1	ALKA	ALKİM KAĞIT SANAYİ VE TİCARET A.Ş.
2	BAKABAK	AMBALAJ SANAYİ VE TİCARET A.Ş.
3	DOBUR	DOĞAN BURDA DERGİ YAYINCILIK VE PAZARLAMA A.Ş.
4	DURDODURAN	DOĞAN BASIM VE AMBALAJ SANAYİ A.Ş.
5	HURGZ	HÜRRİYET GAZETECİLİK VE MATBAACILIK A.Ş.
6	IHGZT	İHLAS GAZETECİLİK A.Ş.
7	KAPLMKAPLAMİN	AMBALAJ SANAYİ VE TİCARET A.Ş.
8	KARTN	KARTONSAN KARTON SANAYİ VE TİCARET A.Ş.
9	OLMIP	OLMUKSAN INTERNATIONAL PAPER AMBALAJ SANAYİ VE TİCARET A.Ş.
10	PRZMA	PRİZMA PRES MATBAACILIK YAYINCILIK SANAYİ VE TİCARET A.Ş.
11	SAMAT	SARAY MATBAACILIK KAĞITÇILIK KIRTASIYECİLİK TİCARET VE SANAYİ A.Ş.
12	TIRE	MONDİ TİRE KUTSAN KAĞIT VE AMBALAJ SANAYİ A.Ş.
13	VKING	VİKİNG KAĞIT VE SELÜLOZ A.Ş.

#### 3.2. Methodology

Ratio analysis was conducted to investigate the impact of COVID 19 in 2019 and 2020. WASPAS, one of the multi-criteria decision-making methods, and ratio analysis were used together in this study; the ratios included in the study are criteria. Microsoft Excel was used to calculate the financial ratios of companies for 2019 and 2020. The financial ratios used in the study are given in Table 2.

**Table 2.** Ratios as Criteria in the Study

Criteria	Ratio
$C_1$	Current ratio
$C_2$	Acid-Test ratio
$C_3$	Cash ratio
$C_4$	Stock turnover ratio
$C_5$	Receivable turnover ratio
$C_6$	Liabilities/Total assets
$C_7$	Non-current assets/Permanent capital
$C_8$	Current assets/Total assets
$C_9$	Short-term liabilities/Total liabilities
$C_{10}$	Long-term liabilities/Total liabilities
$C_{11}$	Equity/Total assets
$C_{12}$	Net profit/Total assets
$C_{13}$	Gross profit/Net sales
$C_{14}$	Operating profit/Net sales
$C_{15}$	Earnings before interest and taxes/Net sales
$C_{16}$	Earnings before taxes/Net sales
$C_{17}$	Net profit/Net sales

In the study, WASPAS, which is a multi-criteria decision-making method with 17 financial ratios, was also considered as a criterion. The WASPAS method was used to rank companies according to their financial ratios for 2019 and 2020. The weights of the criteria are determined equally. Companies which are listed in the BIST paper and paper products, printing and publishing sector are alternatives for WASPAS method.

WASPAS (Weighted Aggregated Sum Product Assessment) method was developed by combining WSM (Weighted Sum Model) and WPM (Weighted Product Model). It has been emphasized that the accuracy of WSM and WPM is below the WASPAS method as a single method and that WASPAS can be successfully applied in multi-criteria decision making problems in computer aided systems. The WASPAS method's steps are given below (Zavadskas et al., 2012, 3-4).

**Step 1.** Decision matrices  $X_k$  by  $n$  criteria and  $m$  alternatives:

$$X_k = \begin{bmatrix} x_{11}^k & x_{12}^k & \cdots & x_{1n}^k \\ x_{21}^k & x_{22}^k & \cdots & x_{2n}^k \\ \vdots & \vdots & \ddots & \vdots \\ x_{m1}^k & x_{m2}^k & \cdots & x_{mn}^k \end{bmatrix}, k = 1, 2, 3, \dots, l.$$

**Step 2.** Equation (1) for beneficial criteria is used for normalization of



$\bar{X}$ . Equation (2) used for non-beneficial criteria.

$$\bar{x}_{ij} = \frac{\bar{x}_{ij'}}{\max_i(\bar{x}_{ij'})}, i = 1, 2, \dots, m; j = 1, 2, \dots, n; j' = 1, 2, \dots, n'. \quad (1)$$

$$\bar{x}_{ij} = \frac{\min_i(\bar{x}_{ij''})}{\bar{x}_{ij''}}, i = 1, \dots, m; j = 1, 2, \dots, n; j'' = 1, 2, \dots, n''. \quad (2)$$

**Step 3.** WSM method ( $Q_i^{(1)}$ ) is used for calculation of total relative importance values by the criteria weights ( $w_j$ ) with Equation (3).

$$Q_i^{(1)} = \sum_{j=1}^n \bar{x}_{ij} \cdot w_j, \forall i. \quad (3)$$

**Step 4.** WPM method ( $Q_i^{(2)}$ ) is used for calculation of total relative importance values by the criteria weights ( $w_j$ ) with Equation (4).

$$Q_i^{(2)} = \prod_{j=1}^n \bar{x}_{ij} \cdot w_j, \forall i. \quad (4)$$

**Step 5.** Equation (5) is used for calculation of weighted aggregation of additive and multiplicative.  $Q_i$  shows final scores of alternatives calculated with WASPAS.  $\lambda$  value is used to alter weight towards either method to carry out sensitivity analysis and enhance the precision of the final decision. Final weights are calculated with WPM method when  $\lambda = 0$ , and final weights are calculated with WSM method when  $\lambda = 1$ .

$$Q_i = \lambda \cdot Q_i^{(1)} + (1 - \lambda) \cdot Q_i^{(2)}, 0 \leq \lambda \leq 1 \quad (5)$$

## 4. FINDINGS

Under this heading, the empirical findings of the research are given. The first step is to create a decision matrix that shows the performance of different alternatives under different criteria. The decision matrix created for companies according to financial ratios in 2019 and 2020 is given in Table 3.

**Table 3.** Decision matrix created for companies according to financial ratios for 2019 and 2020

2019	C1	C2	C3	C4	C5	C6	C7	C8	C9	C10	C11	C12	C13	C14	C15	C16	C17
ALKA	3.04	2.52	1.48	6.27	8.5	0.32	0.17	0.88	0.27	0.03	0.68	1.03	1.06	1.03	1.09	1	0.96
BAKAP	1.31	0.84	0.23	4.34	4.08	0.58	0.78	0.55	0.42	0.16	0.42	0.87	1.03	0.93	0.99	0.88	0.88
DOBUR	1.79	1.75	0.81	40.24	3.65	0.63	0.37	0.81	0.45	0.18	0.37	0.8	1.25	0.85	0.91	0.82	0.82
DURDO	1.56	0.97	0.29	4.06	4.62	0.74	0.74	0.5	0.32	0.42	0.26	0.88	1.16	1	1.07	0.9	0.89

HURGZ	1.97	1.87	0.1	18.8	2.17	0.27	0.53	0.33	0.16	0.11	0.73	0.78	1	0.72	0.86	0.71	0.71
IHGZT	5.91	4.9	0.33	6.85	2.18	0.18	0.63	0.41	0.07	0.11	0.82	0.9	0.94	1	1.04	0.94	0.92
KAPLM	0.94	0.74	0.02	7.17	2.69	0.08	1.09	0.59	0.63	0.08	0.29	0.82	1.06	0.96	0.96	0.83	0.83
KARTN	4.02	2.26	1.19	5.18	11.58	0.17	0.52	0.55	0.14	0.03	0.83	0.99	1.05	1.04	1.06	0.97	0.96
OLMIP	0.94	0.66	0.02	3.8	2.67	0.72	1.12	0.63	0.67	0.05	0.28	0.72	0.99	0.84	0.84	0.74	0.76
PRZMA	3.39	2.14	0.05	0.89	0.86	0.17	0.62	0.46	0.14	0.03	0.83	0.86	1.17	1.131	1.221	0.96	0.94
SAMAT	0.99	0.54	0.0003	2.4	7.13	0.89	1.02	0.64	0.65	0.24	0.11	0.68	0.76	1.041	1.041	0.73	0.73
TIRE	0.93	0.73	0.02	7.14	2.73	0.68	1.13	0.59	0.64	0.04	0.32	0.86	1.3	1.061	1.061	0.84	0.83
VKING	0.41	0.24	0.03	5.22	5.95	0.98	2.47	0.29	0.71	0.27	0.02	0.76	1.38	1.002	1.002	0.7	0.7

2020	C1	C2	C3	C4	C5	C6	C7	C8	C9	C10	C11	C12	C13	C14	C15	C16	C17
ALKA	3.63	2.82	1.51	6.24	5.8	0.28	0.12	0.91	0.25	0.03	1.64	1.2	1.28	1.05	1.13	1.07	0.95
BAKAP	1.46	1.04	0.37	5.11	4.94	0.6	0.66	0.62	0.42	0.18	1.32	0.97	1.21	0.89	0.97	0.87	0.79
DOBUR	1.75	1.7	0.80	41.56	2.82	0.65	0.31	0.84	0.48	0.17	1.27	0.83	1.34	0.7	0.78	0.72	0.67
DURDO	1.22	0.83	0.31	3.89	4.81	0.8	0.84	0.51	0.42	0.38	1.12	0.88	1.3	0.93	1.01	0.76	0.7
HURGZ	1.22	1.14	0.02	18.26	1.62	0.34	0.54	0.28	0.23	0.11	1.58	0.82	1.06	0.54	0.7	0.6	0.48
IHGZT	3.95	2.93	0.04	4.98	2.14	0.22	0.72	0.34	0.09	0.13	1.7	0.88	1.1	0.77	0.82	0.78	0.81
KAPLM	0.94	0.71	0.02	6.94	2.95	0.06	1.12	0.63	0.68	0.06	1.18	1.03	1.26	0.92	1.068	0.94	0.92
KARTN	4.04	2.87	1.82	5.33	11.61	0.18	0.46	0.6	0.15	0.03	1.74	1.19	1.27	1.03	1.198	1.09	1.04
OLMIP	1.25	0.9	0.03	5.94	3.08	0.62	0.66	0.72	0.58	0.04	1.3	0.98	1.22	0.847	0.996	0.89	0.88
PRZMA	1.92	0.87	0.01	1.28	1.38	0.24	0.74	0.42	0.22	0.02	1.68	1.18	1.17	0.7	1.6	1.45	1.39
SAMAT	1.14	0.53	0.002	3.01	4.28	0.66	0.85	0.6	0.52	0.13	1.26	1.1	1.1	1.19	1.19	0.95	0.94
TIRE	0.97	0.75	0.01	8.25	3.06	0.7	1.05	0.64	0.66	0.04	1.22	1.12	1.36	1.09	1.09	0.95	0.94
VKING	0.38	0.26	0.07	5.97	5.53	1.08	5.31	0.33	0.87	0.2	0.84	1.16	1.44	1.04	1.04	0.8	0.78

Equation (1) for beneficial criteria is used for normalization of initial group decision matrix and Equation (2) is used for non-beneficial criteria. Normalized decision matrix ( $\tilde{X}$ ) is given in Table 4.

Table 4. Normalized Decision Matrix

2019	C1	C2	C3	C4	C5	C6	C7	C8	C9	C10	C11	C12	C13	C14	C15	C16	C17
	max	max	max	max	max	max	max	max	min	min	max	max	max	max	max	max	max
ALKA	0.514	0.514	1.000	0.156	0.734	0.327	0.069	1.000	0.259	1.000	0.819	1.000	0.768	0.911	0.893	1.000	1.000
BAKAP	0.222	0.171	0.155	0.108	0.352	0.592	0.316	0.625	0.167	0.188	0.506	0.845	0.746	0.822	0.811	0.880	0.917
DOBUR	0.303	0.357	0.547	1.000	0.315	0.643	0.150	0.920	0.156	0.167	0.446	0.777	0.906	0.752	0.745	0.820	0.854
DURDO	0.264	0.198	0.196	0.101	0.399	0.755	0.300	0.568	0.219	0.071	0.313	0.854	0.841	0.884	0.876	0.900	0.927
HURGZ	0.333	0.382	0.068	0.467	0.187	0.276	0.215	0.375	0.438	0.273	0.880	0.757	0.725	0.637	0.704	0.710	0.740
IHGZT	1.000	1.000	0.223	0.170	0.188	0.184	0.255	0.466	1.000	0.273	0.988	0.874	0.681	0.884	0.852	0.940	0.958
KAPLM	0.159	0.151	0.014	0.178	0.232	0.082	0.441	0.670	0.222	0.375	0.349	0.796	0.768	0.849	0.786	0.830	0.865

KARTN	0.680	0.461	0.804	0.129	1.000	0.173	0.211	0.625	1.000	1.000	1.000	0.961	0.761	0.920	0.868	0.970	1.000
OLMIP	0.159	0.135	0.014	0.094	0.231	0.735	0.453	0.716	0.209	0.600	0.337	0.699	0.717	0.743	0.688	0.740	0.792
PRZMA	0.574	0.437	0.034	0.022	0.074	0.173	0.251	0.523	1.000	1.000	1.000	0.835	0.848	1.000	1.000	0.960	0.979
SAMAT	0.168	0.110	0.000	0.060	0.616	0.908	0.413	0.727	0.239	0.167	0.133	0.660	0.551	0.920	0.853	0.730	0.760
TIRE	0.157	0.149	0.014	0.177	0.236	0.694	0.457	0.670	0.243	1.000	0.386	0.835	0.942	0.938	0.869	0.840	0.865
VKING	0.069	0.049	0.020	0.130	0.514	1.000	1.000	0.330	0.219	0.265	0.024	0.738	1.000	0.886	0.821	0.700	0.729

2020	C1	C2	C3	C4	C5	C6	C7	C8	C9	C10	C11	C12	C13	C14	C15	C16	C17
	max	max	max	max	max	max	max	max	min	min	max	max	max	max	max	max	max
ALKA	0.899	0.962	0.830	0.150	0.500	0.259	0.023	1.000	0.360	0.667	0.943	1.000	0.889	0.882	0.706	0.738	0.683
BAKAP	0.361	0.355	0.203	0.123	0.425	0.556	0.124	0.681	0.214	0.111	0.759	0.808	0.840	0.748	0.606	0.600	0.568
DOBUR	0.433	0.580	0.440	1.000	0.243	0.602	0.058	0.923	0.188	0.118	0.730	0.692	0.931	0.588	0.488	0.497	0.482
DURDO	0.302	0.283	0.170	0.094	0.414	0.741	0.158	0.560	0.214	0.053	0.644	0.733	0.903	0.782	0.631	0.524	0.504
HURGZ	0.302	0.389	0.011	0.439	0.140	0.315	0.102	0.308	0.391	0.182	0.908	0.683	0.736	0.454	0.438	0.414	0.345
IHGZT	0.978	1.000	0.022	0.120	0.184	0.204	0.136	0.374	1.000	0.154	0.977	0.733	0.764	0.647	0.513	0.538	0.583
KAPLM	0.233	0.242	0.011	0.167	0.254	0.056	0.211	0.692	0.221	0.333	0.678	0.858	0.875	0.773	0.668	0.648	0.662
KARTN	1.000	0.980	1.000	0.128	1.000	0.167	0.087	0.659	1.000	0.667	1.000	0.992	0.882	0.866	0.749	0.752	0.748
OLMIP	0.309	0.307	0.016	0.143	0.265	0.574	0.124	0.791	0.323	0.500	0.747	0.817	0.847	0.712	0.623	0.614	0.633
PRZMA	0.475	0.297	0.005	0.031	0.119	0.222	0.139	0.462	0.852	1.000	0.966	0.983	0.813	0.588	1.000	1.000	1.000
SAMAT	0.282	0.181	0.001	0.072	0.369	0.611	0.160	0.659	0.361	0.308	0.724	0.917	0.764	1.000	0.744	0.655	0.676
TIRE	0.240	0.256	0.005	0.199	0.264	0.648	0.198	0.703	0.284	1.000	0.701	0.933	0.944	0.916	0.681	0.655	0.676
VKING	0.094	0.089	0.038	0.144	0.476	1.000	1.000	0.363	0.216	0.263	0.483	0.967	1.000	0.874	0.650	0.552	0.561

Optimization of the purpose includes both maximization and minimization goals according to criteria. C9 and C10 are non-beneficial criteria which denoted as min and the rest of the criteria are beneficial criteria which denoted as max. Before the normalization matrix was created, there was no negative value in the financial ratios, so no correction was made. Values which are comparable are obtained by the normalization of decision matrix.

Equation (3) and Equation (4) are used to calculate alternative weights with WSM and WPM for 2019 and 2020. WSM values which are calculated with Equation (3) for 2019 and 2020 are given in Table 5.

*Table 5. Total relative importance values of alternatives by WSM for 2019 and 2020*

2019	C1	C2	C3	C4	C5	C6	C7	C8	C9	C10	C11	C12	C13	C14	C15	C16	C17
weight	0.056	0.056	0.056	0.056	0.056	0.056	0.056	0.056	0.056	0.056	0.056	0.056	0.056	0.056	0.056	0.056	0.056
ALKA	0.029	0.029	0.056	0.009	0.041	0.018	0.004	0.056	0.014	0.056	0.046	0.056	0.043	0.051	0.050	0.056	0.056

BAKAP	0.0120.0100.009	0.006	0.020	0.0330.0180.0350.0090.0100.0280.0470.041	0.046	0.045	0.0490.051
DOBUR	0.0170.0200.030	0.056	0.018	0.0360.0080.0510.0090.0090.0250.0430.0500.042	0.041	0.046	0.047
DURDO	0.0150.0110.011	0.006	0.022	0.0420.0170.0320.0120.0040.0170.0470.0470.049	0.049	0.050	0.052
HURGZ	0.0190.0210.004	0.026	0.010	0.0150.0120.0210.0240.0150.0490.0420.0400.035	0.039	0.039	0.041
IHGZT	0.0560.0560.012	0.009	0.010	0.0100.0140.0260.0560.0150.0550.0490.0380.049	0.047	0.052	0.053
KAPLM	0.0090.0080.001	0.010	0.013	0.0050.0250.0370.0120.0210.0190.0440.0430.047	0.044	0.046	0.048
KARTN	0.0380.0260.045	0.007	0.056	0.0100.0120.0350.0560.0560.0560.0530.0420.051	0.048	0.054	0.056
OLMIP	0.0090.0070.001	0.005	0.013	0.0410.0250.0400.0120.0330.0190.0390.0400.041	0.038	0.041	0.044
PRZMA	0.0320.0240.002	0.001	0.004	0.0100.0140.0290.0560.0560.0560.0460.0470.056	0.056	0.053	0.054
SAMAT	0.0090.0060.000	0.003	0.034	0.0500.0230.0400.0130.0090.0070.0370.0310.051	0.047	0.041	0.042
TIRE	0.0090.0080.001	0.010	0.013	0.0390.0250.0370.0140.0560.0210.0460.0520.052	0.048	0.047	0.048
VKING	0.0040.0030.001	0.007	0.029	0.0560.0560.0180.0120.0150.0010.0410.0560.049	0.046	0.039	0.041

2020	C1	C2	C3	C4	C5	C6	C7	C8	C9	C10	C11	C12	C13	C14	C15	C16	C17
weight	0.0560.056	0.056	0.056	0.056	0.056	0.0560.0560.0560.0560.0560.0560.0560.056	0.056	0.056	0.0560.0560.0560.0560.056	0.056	0.056	0.056	0.056	0.056	0.056	0.0560.056	
ALKA	0.0500.053	0.046	0.008	0.028	0.0140.0010.0560.0200.0370.0520.0560.049	0.049	0.039	0.0410.038									
BAKAP	0.0200.020	0.011	0.007	0.024	0.0310.0070.0380.0120.0060.0420.0450.047	0.042	0.034	0.0330.032									
DOBUR	0.0240.032	0.024	0.056	0.013	0.0330.0030.0510.0100.0070.0410.0380.052	0.033	0.027	0.0280.027									
DURDO	0.0170.016	0.009	0.005	0.023	0.0410.0090.0310.0120.0030.0360.0410.050	0.043	0.035	0.0290.028									
HURGZ	0.0170.022	0.001	0.024	0.008	0.0170.0060.0170.0220.0100.0500.0380.041	0.025	0.024	0.0230.019									
IHGZT	0.0540.056	0.001	0.007	0.010	0.0110.0080.0210.0560.0090.0540.0410.042	0.036	0.028	0.0300.032									
KAPLM	0.0130.013	0.001	0.009	0.014	0.0030.0120.0380.0120.0190.0380.0480.049	0.043	0.037	0.0360.037									
KARTN	0.0560.054	0.056	0.007	0.056	0.0090.0050.0370.0560.0370.0560.0550.049	0.048	0.042	0.0420.042									
OLMIP	0.0170.017	0.001	0.008	0.015	0.0320.0070.0440.0180.0280.0420.0450.047	0.040	0.035	0.0340.035									
PRZMA	0.0260.016	0.000	0.002	0.007	0.0120.0080.0260.0470.0560.0540.0550.045	0.033	0.056	0.0560.056									
SAMAT	0.0160.010	0.000	0.004	0.020	0.0340.0090.0370.0200.0170.0400.0510.042	0.056	0.041	0.0360.038									
TIRE	0.0130.014	0.000	0.011	0.015	0.0360.0110.0390.0160.0560.0390.0520.052	0.051	0.038	0.0360.038									
VKING	0.0050.005	0.002	0.008	0.026	0.0560.0560.0200.0120.0150.0270.0540.056	0.049	0.036	0.0310.031									

The fourth step of the WASPAS method is the calculation of WPM with Equation (4). WPM values which are calculated with Equation (4) for 2019 and 2020 are given in Table 6.

**Table 6.** Total relative importance values of alternatives by WPM for 2019 and 2020

2019	C1	C2	C3	C4	C5	C6	C7	C8	C9	C10	C11	C12	C13	C14	C15	C16	C17
ALKA	0.964	0.964	1.000	0.902	0.983	0.940	0.862	1.000	0.928	1.000	0.989	1.000	0.985	0.995	0.994	1.000	1.000
BAKAP	0.920	0.907	0.902	0.884	0.944	0.971	0.938	0.974	0.905	0.911	0.963	0.991	0.984	0.989	0.988	0.993	0.995
DOBUR	0.936	0.944	0.967	1.000	0.938	0.976	0.900	0.995	0.902	0.905	0.956	0.986	0.995	0.984	0.984	0.989	0.991
DURDO	0.929	0.914	0.913	0.880	0.950	0.985	0.935	0.969	0.919	0.864	0.938	0.991	0.990	0.993	0.993	0.994	0.996
HURGZ	0.941	0.948	0.861	0.959	0.911	0.931	0.918	0.947	0.955	0.930	0.993	0.985	0.982	0.975	0.981	0.981	0.983
IHGZT	1.000	1.000	0.920	0.906	0.911	0.910	0.927	0.958	1.000	0.930	0.999	0.993	0.979	0.993	0.991	0.997	0.998
KAPLM	0.903	0.900	0.787	0.909	0.922	0.870	0.956	0.978	0.920	0.947	0.943	0.987	0.985	0.991	0.987	0.990	0.992
KARTN	0.979	0.958	0.988	0.892	1.000	0.907	0.917	0.974	1.000	1.000	1.000	0.998	0.985	0.995	0.992	0.998	1.000
OLMIP	0.903	0.895	0.787	0.877	0.922	0.983	0.957	0.982	0.917	0.972	0.941	0.980	0.982	0.984	0.979	0.983	0.987
PRZMA	0.970	0.955	0.828	0.809	0.865	0.907	0.926	0.965	1.000	1.000	1.000	0.990	0.991	1.000	1.000	0.998	0.999
SAMAT	0.906	0.885	0.623	0.855	0.973	0.995	0.952	0.982	0.924	0.905	0.894	0.977	0.967	0.995	0.991	0.983	0.985
TIRE	0.902	0.900	0.787	0.908	0.923	0.980	0.957	0.978	0.924	1.000	0.948	0.990	0.997	0.996	0.992	0.990	0.992
VKING	0.862	0.846	0.805	0.893	0.964	1.000	1.000	0.940	0.919	0.929	0.813	0.983	1.000	0.993	0.989	0.980	0.983

2020	C1	C2	C3	C4	C5	C6	C7	C8	C9	C10	C11	C12	C13	C14	C15	C16	C17
ALKA	0.994	0.998	0.990	0.900	0.962	0.928	0.810	1.000	0.945	0.978	0.997	1.000	0.993	0.993	0.981	0.983	0.979
BAKAP	0.945	0.944	0.915	0.890	0.954	0.968	0.891	0.979	0.918	0.885	0.985	0.988	0.990	0.984	0.973	0.972	0.969
DOBUR	0.955	0.970	0.955	1.000	0.924	0.972	0.854	0.996	0.911	0.888	0.983	0.980	0.996	0.971	0.961	0.962	0.960
DURDO	0.936	0.932	0.906	0.877	0.952	0.983	0.903	0.968	0.918	0.849	0.976	0.983	0.994	0.986	0.975	0.965	0.963
HURGZ	0.936	0.949	0.778	0.955	0.896	0.938	0.881	0.937	0.949	0.910	0.995	0.979	0.983	0.957	0.955	0.952	0.943
IHGZT	0.999	1.000	0.809	0.889	0.910	0.915	0.895	0.947	1.000	0.901	0.999	0.983	0.985	0.976	0.964	0.966	0.970
KAPLM	0.922	0.924	0.778	0.905	0.927	0.852	0.917	0.980	0.919	0.941	0.979	0.992	0.993	0.986	0.978	0.976	0.977
KARTN	1.000	0.999	1.000	0.892	1.000	0.905	0.873	0.977	1.000	0.978	1.000	1.000	0.993	0.992	0.984	0.984	0.984
OLMIP	0.937	0.937	0.796	0.898	0.929	0.970	0.891	0.987	0.939	0.962	0.984	0.989	0.991	0.981	0.974	0.973	0.975
PRZMA	0.960	0.935	0.749	0.824	0.888	0.920	0.896	0.958	0.991	1.000	0.998	0.999	0.989	0.971	1.000	1.000	1.000
SAMAT	0.932	0.909	0.685	0.864	0.946	0.973	0.903	0.977	0.945	0.937	0.982	0.995	0.985	1.000	0.984	0.977	0.979
TIRE	0.924	0.927	0.749	0.914	0.929	0.976	0.914	0.981	0.932	1.000	0.980	0.996	0.997	0.995	0.979	0.977	0.979
VKING	0.877	0.874	0.834	0.898	0.960	1.000	1.000	0.945	0.918	0.929	0.960	0.998	1.000	0.993	0.976	0.968	0.968

Using Equation 5 ( $\lambda = 0.5$ ), the relative and total importance levels of the alternatives,  $Q_i$ , were calculated and the scores obtained were ranked according to WASPAS method.

*Table 7. Ranking of Alternatives*

2019	WSM	WPM	WSPM	RANK	2020	WSM	WPM	WSPM	RANK
BAKAP	0.698	0.649	0.67358	1	KARTN	0.704	0.631	0.66777	1
KARTN	0.665	0.596	0.63036	2	ALKA	0.638	0.548	0.59322	2
IHGZT	0.608	0.543	0.57539	3	DOBUR	0.499	0.452	0.47572	3
DOBUR	0.548	0.509	0.52835	4	PRZMA	0.553	0.368	0.46070	4
DURDO	0.595	0.426	0.51033	5	TIRE	0.517	0.403	0.45977	5
KAPLM	0.526	0.413	0.46969	6	IHGZT	0.496	0.390	0.44274	6
PRZMA	0.481	0.413	0.44707	7	VKING	0.487	0.387	0.43684	7
ALKA	0.468	0.416	0.44206	8	BAKAP	0.449	0.413	0.43102	8
TIRE	0.454	0.427	0.44047	9	OLMIP	0.464	0.392	0.42795	9
OLMIP	0.448	0.358	0.40315	10	DURDO	0.428	0.377	0.40247	10
HURGZ	0.472	0.307	0.38930	11	SAMAT	0.471	0.327	0.39898	11
VKING	0.432	0.335	0.38309	12	KAPLM	0.421	0.326	0.37381	12
SAMAT	0.445	0.261	0.35308	13	HURGZ	0.364	0.310	0.33736	13

According to the WASPAS method in 2019, BAKAP is in the 1st place, while in 2020 it is in the 8th place. In 2019 KARTN is in 2nd place and in 2020 it is in 1st place. IHGZT ranked 3rd in 2019 and 6th in 2020. DOBUR ranked 4th in 2019 and 3rd in 2020. DURDO is ranked 5th in 2019 and 10th in 2020. KAPLM ranked 6th in 2019 and 12th in 2020. PRZMA is ranked 7th in 2019 and 4th in 2020. ALKA ranked 8th in 2019 and 2nd in 2020. TIRE ranked 9th in 2019 and 5th in 2020. OLMIP ranked 10th in 2019 and 9th in 2020. HURGZ is ranked 11th in 2019 and 13th in 2020. VKING ranked 12th in 2019 and 7th in 2020. SAMAT ranked 13th in 2019 and 11th in 2020.

## CONCLUDES

The purpose of this research is achieved with revealing the impact of the COVID 19 on the financial statements of companies as financial performance with evaluating WASPAS method in the paper and paper products, printing and publishing sector in Borsa İstanbul. 17 financial ratios were used to measure the financial performance of 13 companies traded in the Borsa Istanbul paper sector during the COVID 19 period. The ratios used for ratio analysis are liquidity and turnover ratios, financial structure ratios and profitability ratios. The financial ratios used in this financial performance measurement were evaluated with the WASPAS method, which is a multi-criteria decision-making method. When 2019 and 2020 are compared, the total current assets of the enterprises in the paper and paper products, printing and publishing sector increased due to the increase in their trade receivables and stocks, and the increase in tangible fixed assets and investment properties increased the total fixed assets. The increase in the total current assets of the enterprises is higher than the increase in the total fixed assets. The main reason for the increase in total

short-term liabilities in 2020 compared to 2019 is the increase in trade payables. Although the long-term borrowings of the enterprises generally decreased, the increases in the long-term provisions for employee benefits increased their total long-term liabilities. Equity has increased in the majority of businesses in 2020 compared to 2019.

While revenue and gross profit items increased in general in the paper and paper products, printing and publishing sectors in 2019 and 2020, there was no similar increase in operating profits. While there were more increases in the main operating profits of the enterprises in the paper and paper products sector, there were main operating losses of the enterprises in the printing and publishing sector. The financing expenses of the vast majority of businesses decreased in 2020 compared to 2019. While the majority of enterprises in the paper and paper products sector achieved a net profit for the period in 2020, a net loss for the period occurred in general in the printing and publishing sector. Cash inflows from the operations of the enterprises continued and cash inflows from the activities of the enterprises in the paper and paper products sector increased more than the enterprises in the printing and publishing sector. Cash outflows from investment activities of enterprises in the paper and paper products sector increased, while cash outflows from investment activities of enterprises in the printing and publishing sector decreased. Cash outflows from financing activities of businesses decreased in general when compared to 2019. The majority of these businesses have had cash outflows from their financing activities.

Companies in the paper and paper products industry have higher liquidity ratios, inventory turnover and receivables turnover than businesses in the printing and publishing industry. This is generally true for financial structure ratios. When the profitability ratios are analyzed, the profitability ratios of the enterprises in the paper and paper products sector increased more in 2020 compared to the enterprises in the printing and publishing sector in 2020 compared to 2019. Common to the key audit matters in audit reports are the recoverability of trade receivables, inventories, fair value measurements of investment properties, and recording of revenues and revenues. It is seen that businesses in the paper and paper products industry perform better than businesses in the printing and publishing industry during the COVID 19 period. When paper and paper products are considered as packaging materials and cleaning products, it can be said that the financial statement data is also better due to the increasing demand due to the increasing shipping-packaging and hygiene activities of the companies producing them. On the other hand, it can be stated that the demand for printed products such as newspapers and magazines has decreased, thus negatively affecting the financial statement data of the

enterprises in the printing and publishing sector.

The improvement in the financial ratios of the companies caused them to get a higher rating in 2020 compared to 2019. The WASPAS method also shows that companies with improved financial ratios are ranked higher. On the other hand, companies with declining financial ratios were ranked lower in 2020 compared to 2019. It can be stated that COVID 19 has a positive effect on the financial ratios of the paper industry. Thus, while companies in the paper industry rank more high, companies in the printing industry rank lower. In this study, criteria weights were taken equally and calculated. In future studies, the weights of the criteria can be determined and applied by different methods. In addition, the impact of COVID 19 on the financial ratios of other sectors can be investigated with different multi-criteria decision-making methods.



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# Chapter 4

## **FINANCIAL PERFORMANCE ANALYSIS OF REINSURANCE COMPANIES IN TURKEY: WPM METHOD**

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## INTRODUCTION

Insurance companies are among the financial institutions that transfer resources to the economy. They also provide collateral against the potential risks and harms that individuals may face. And when the damages occur, they compensate the damage according to certain rules. Thanks to these functions, the insurance sector contributes to economic development, economic growth and the well-being of individuals. The financial performance of insurance companies that transfer resources from collected premiums to the economy is closely monitored by stakeholders in the sector (Işık, 2019; Aydın, 2018; Özcan, 2011, Uralcan, 2011 ).

In order to sustain the function of transfer of resources to the economy, it is necessary to manage the risks undertaken by insurance companies well. This requires an effective reinsurance system. The transfer of some of the risks undertaken by insurance companies to reinsurance companies in exchange for commission according to the terms of their contract is called “reinsurance” or “cession”. Reinsurance companies are financial companies established to take over some of the risks and premiums of insurance companies. They give a certain commission or dividend to insurance companies in exchange for the transfer of premiums. If the transferred risks occur, reinsurance companies pay a certain percentage of the damage to the insurance companies that transfer the risk. Reinsurance companies can transfer some of the risks they inherit to other reinsurance companies and take risks from them. This function is called “retrocession”. In this way, it is possible to distribute the risks to reinsurance companies in different countries. The reinsurance function allows the international sharing of insurance risks, especially in a particular country. Reinsurance function is vital for the insurance sector to function effectively and create economic benefits. Thanks to the reinsurance function, the risks of insurance companies are spread over a wider geography, thereby making the major risks homogenous within a more balanced portfolio structure. In this way, the big risks can be managed more easily. In addition, the capacities and flexibility of insurance companies may increase (Ererdi, 1983; Akalın, 1998; Toprak, 2009; Baran, 1982; Ayan, 2020).

One of the three main groups (with life, life and retirement) located in the insurance sector in Turkey is the reinsurance group. In this study, the financial performance of reinsurance companies operating in Turkey between 2018 and 2020 will be compared and thus a performance ranking will be created on the basis of the relevant companies. Since there are no studies in the literature in which the financial performance of reinsurance companies operating in Turkey is analyzed with multi-criteria decision-making techniques (MCDM), it is thought that this research can contribute to the literature.

In this research, some criteria taken into account in the financial performance valuation of companies were selected. These selected criteria include Equity / Total assets, Current assets/ Total assets, Short-term liabilities / Current assets, Financial liabilities / Equity, Total liabilities / Equity, Net profit/ Total assets, Net profit / Equity, Total assets/Insurance Sector ratios. The weights of these criteria were determined by the researcher and higher weights were given to the criteria related to profitability.

There are five titles in the study: The first title covers the role of insurance and reinsurance in the transfer of resources to the economy. In the second title, the relevant literature is summarized. In the third title, the method of the study is explained. The fourth title has an application section with the findings of the research. The results obtained from the findings were evaluated under the title of the conclusion in the last part of the study.

## 1.LİTERATURE SUMMARY

In literature, no performance comparison studies of reinsurance companies using WPM (Weighted Product Method) method being as a part of MCDM techniques were found. Below, the studies analyzing financial performances of insurance companies operating in Turkey by using any of MCDM techniques or the studies analyzing financial performance of other sectors using WPM method are summarized.

Özbek (2015a) compared the financial performance of pension insurance companies in Turkey between 2010 and 2014 using EATWIOS being as one of MCDM techniques. Criteria weights are determined by the researcher. The number of employees, total assets and total paid capital, premium production and number of contracts were selected as criteria. Allianz Yaşam has been the most successful pension company in all of the sub-EATWIOS methods based on satisfaction level of premium production, satisfaction level of premium production and number of contracts and no satisfaction level.

Ege et al. (2016) investigated the performance of some investment funds of pension companies in Turkey between 2012 and 2014. In performance analysis, ELECTRE method from multi-criteria decision-making techniques and money supply M2, Sharpe, Treynor and Jensen criteria were used. Allianz Hayat and Emeklilik was the most successful pension insurance company in 2012-2013, while Aegon Emeklilik and Hayat was the most successful pension insurance company in 2014.

In Taka et al. (2017), integrated SAW and WPM method was used to choose the best among different tool ends for better surface quality in turning. In the study, 9 alternatives and 5 criteria were evaluated.

Aydın (2018) compared the financial performance of life and pension

insurance companies in Turkey between 2015 and 2017. In the study, integrated CRITIC and TOPSIS methods from multi-criteria decision-making techniques were used. Ten financial ratios and eight technical ratios were used as criteria. The industry's highest performing year was 2015, while the lowest performance was recorded in 2007.

Bulgurcu (2019) compared the financial performance of six insurance companies registered in BIST in the period of 2014-2018. In the research, integrated ENTROPI (as one of MCDM techniques) EATIWOS method was used. The sales successes of the companies were compared. As a criterion, current and fixed assets, capital, agency, number of branches and policies, premium total, technical profit were selected. At the end of the research, AvivaSA was the highest performing company.

Keleş et al. (2019) has addressed the problem of choosing a full blood count device planned to be used in a laboratory. SWARA method for criterion weights and WPM method for performance ranking were used. The Analytical Hierarchy Process method was applied to test the result reached. The decision matrix to which the WPM method is applied is also examined with the TODIM method.

Ünal (2019) compared the financial performance of insurance companies registered in BIST for 2017. In the study, integrated ENTROPY-EDAS method and eight criteria were used. The measure of profit before tax /gross premium received is the most important criterion. The highest performing company is Anadolu Hayat Emeklilik.

The financial performance of the insurance companies registered in BIST between 2008 and 2017 was investigated by Acar (2019). In the study, TOPSIS from MCDM techniques was applied with equal weight. Eighteen liquidity ratios were selected as criteria. Company names in the study are not specified. It has been determined that the performance ranking is different every year.

## **2.METHODOLOGY: WEIGHTED PRODUCT METHOD (WPM)**

Being the one of multi-criteria decision-making techniques, WPM (Weighted Product Method) method was used in the study. The WPM method was designed by Bridgman in 1922 (Güzel ve Çelik, 2021). The implementation stages of this method, also called the Weighted Multiplication Method, are described through the following equations (Chang and Yeh, 2001; Savitha and Chandrasekar, 2011; Nezhad et al., 2015; Özbek, 2015b; Taka et al., 2017; Özbek, 2017; Demirci, 2019; Keleş et al, 2019; Şahin, 2020).

In the first phase of the WPM method, the initial decision matrix is created. The initial decision matrix is created as in Equation 1.

$$X_{ij} = \begin{bmatrix} X_{11} & \cdots & X_{1n} \\ \vdots & \ddots & \vdots \\ X_{m1} & \cdots & X_{mn} \end{bmatrix} \quad (1)$$

In equation,  $i$  shows alternative ( $i = 1, 2, 3, \dots, m$ ),  $j$  indicates criterion ( $j = 1, 2, 3, \dots, n$ ),  $x_{ij}$  signals the value of  $i$ . alternative in terms of  $j$ . criterion.

In phase 2, the initial decision matrix is converted into a normalized decision matrix with the normalization process. Normalization is done with the help of Equation (2) for maximum directional criteria and Equation (3) for minimum directional criteria. Thus, the exponent of each normalized value is taken with the previously determined criterion weight.

$\bar{x}_{ij} = x_{ij}^{w_j}$ ; for maximum directional criteria	(2)
$\bar{x}_{ij} = \frac{1}{x_{ij}^{w_j}}$ ; for minimum directional criteria	(3)

$\bar{x}_{ij}$  indicates the normalized value of  $i$ . alternative in terms of  $j$ . criteria.  $w_j$  is the weight of the  $j$ . criterion. Positive exponent ( $+w_j$ ) is taken for benefit-oriented criteria and negative ( $-w_j$ ) exponent is taken for cost-oriented criteria. As a result of applying Equations (2) and (3) to the corresponding cells in the decision matrix, the normalized decision matrix is created as in Equation 4.

$$\bar{x}_{ij} = \begin{bmatrix} \bar{x}_{11} & \cdots & \bar{x}_{1n} \\ \vdots & \ddots & \vdots \\ \bar{x}_{m1} & \cdots & \bar{x}_{mn} \end{bmatrix} \quad (4)$$

In phase 3, the performance score is calculated for each alternative. At this stage, all criteria are to be joined to the performance score. The calculation of the performance score is shown in Equation 5.

$WPM_i = \prod_{j=1}^n \bar{x}_{ij}$	(5)
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$WPM_i$  indicates performance score of  $i$ . alternative calculated by WPM method.

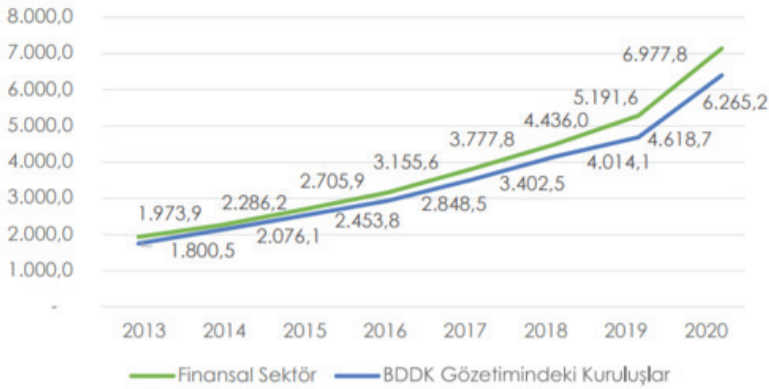
In phase 4, the highest value among these performance scores is considered the best alternative according to WPM method (Keleş et al, 2019).

### 3. APPLICATION

Before proceeding to the performance analysis of reinsurance companies, the asset sizes of the financial sector and insurance sectors in which reinsurance companies are located should be looked at. In particular,



it is worth looking at the asset development of the financial sector in Turkey between 2013 and 2020:



**Figure 1. Financial Sector Total Assets (billion TL)**

Source: BDDK 2020 Annual Report. Accessed on: 07.10.2021, access address: <https://www.bddk.org.tr/KurumHakkinda/EkGetir/5?ekId=22>.

According to Figure 1, the TL values of the assets owned by the financial sector in Turkey have steadily grown between 2013-2020. Of course, it will be healthier to evaluate this growth together with the inflation and exchange rate changes that took place during this period in Turkey. However, it is quite clear that the financial sector has grown nominally during this period. If we focus from the financial sector to the insurance sector, we can see that the share of the insurance sector, which includes the reinsurance sub-sector, is approximately 4.4 percent. The insurance sector has three sub-sectors: non-life, life-pension and resurance. Within the scope of the shares of these sub-sectors in total assets of the sector in 2020, it is known that the largest share belongs to the “life and pension” group (66.7 percent). The second largest share belongs to the “non-life” sub-sector (31 percent) and the smallest share belongs to the “reinsurance” sub-sector (2.2 percent). According to these statistics, it is seen that the reinsurance sub-sector analyzed in this study has the smallest share in terms of total assets within the insurance sector covering it (TSB, 2021).

Table 1 contains information on the number of companies, employees and the share of total asset of the reinsurance group in the general insurance sector and the financial sector between 2018-2020.

*Table 1. Basics of The Reinsurance Sector in Turkey*

Fundamental Sizes of Reinsurance Sector	2018	2019	2020
Number of reinsurance companies	2	3	3

Number of employees in the reinsurance sector	225	252	302
Number of insurance industry employees (excluding direct sales)	14070	14228	14428
Employment share of the reinsurance sector (%)	1.6	1.8	2.1
Insurance sector total asset (Billion TL)	178.4	237	307.8
Reinsurance sector total asset (Billion TL)	3.896	4.904	6.809
Reinsurance sector's share within the insurance sector (%)	2.18	2.07	2.21
Financial sector total asset (Billion TL)	4436.0	5191.6	6997.8
The share of the insurance sector within the financial sector (%)	4.02	4.57	4.40

Source: Insurance Association of Turkey (TSB). (2021). Statistics. Accessed on: 07.09.2021, access address: <https://www.tsb.org.tr/tr/istatistikler> and BDDK (2020). Annual Report. Accessed on: 07.09.2021, access address: <https://www.bddk.org.tr/KurumHakkinda/EkGetir/5?ekId=22>.

According to Table 1, it is seen that reinsurance companies operating in Turkey did not increase much in number between 2018 and 2020. The same applies to the number of employees in these companies. In addition, it turns out that the share of the reinsurance sector in the insurance sector total asset is quite small at 2.2 percent.

The financial figures (such as current assets, total asset, short-term liabilities, financial liabilities, long-term liabilities, equity, net profit/loss) of the companies (alternatives) operating in the reinsurance sector between 2018 and 2020 were converted into financial ratios suitable for financial analysis after obtained from the Insurance Association of Turkey (TSB) website. The criteria (financial ratios) used in the measurement of financial performance of companies are capital adequacy, liquidity, leverage, profitability and sector share. The equations for these criteria are included in Table 2.

*Table 2. Criteria*

Criterion	Equation	Code	Target	Weight
Capital adequacy	Equity / Total Assets	C1	Maks	0.125
Liquidity	Current Assets/ Total Assets	C2	Maks	0.075
	Short-term Liabilities / Current Assets	C3	Min	0.125
Leverage	Financial Liabilities / Equity	C4	Min	0.075
	Total Liabilities / Equity	C5	Min	0.125
Profitability	Net Profit / Total Assets	C6	Maks	0.175
	Net Profit / Equity	C7	Maks	0.175
Sector share	Total Assets / Insurance Sector	C8	Maks	0.125

The “Max” directional criteria in the table are benefit-oriented and are aimed to be the highest (maximum) value for the company’s performance. In contrast, since the “Min” directional criteria are cost-oriented, it is better for company performance to be at the lowest (minimum) value. The weight value of the criterion indicates the importance of each criterion; The highest value points to the most important criterion. In the study, weight coefficients of the criteria were determined based on the personal opinion of the author. For example, they have a higher weight coefficient (17.5 percent) than other criteria, as profitability criteria are considered more important in performance evaluation. The sum value of the weight coefficients of the criteria should always be 1.

The number of reinsurance insurance companies in Turkey is 3 in 2020 (end of year). Table 3 shows the shares of reinsurance companies within the insurance sector in terms of total asset and each company’s share within the reinsurance group.

*Table 3. Reinsurance Companies in Turkey (2020)*

Company Name (Alternative)	Code	Total Assets	Total Liabilities	Equity	Net Profit / Loss	Group Share (%)	Sector Share (%)
Milli Reasürans TAŞ	R1	5,506,298	2,867,664	2,638,633	348,598	0.809	0.018
VHV Reasürans AŞ	R2	328,074	218,108	109,965	19,313	0.048	0.001
Türk Reasürans AŞ	R3	975,256	515,424	459,832	82,209	0.143	0.003
Reinsurance Companies Total (000 TL)		6,809,628	3,601,196	3,208,430	450,120		
Insurance Sector Total (000 TL)		307,842,215	269,319,968	38,522,247	10,503,600		

Source: Source: Insurance Association of Turkey. Statistics. Accessed on: 07.09.2021, access address: <https://www.tsb.org.tr/tr/istatistikler>

From Table 3, it is seen that the share of the reinsurance sector in the insurance sector total asset is quite low at 2.2 percent by the end of 2020. In addition, it is seen that the largest company in the sector is Milli Reasürans. This company’s share of the reinsurance sector total asset is the highest with 80.9 percent. The second largest company is Türk Reasürans with a 14.3 percent share. This company was founded in 2019 and is an entirely publicly owned company. The smallest company in the sector is VHV Reasürans with a share of 4.8 percent.

WPM method, one of the MCDM techniques, was used to compare the financial performance of these companies. In the performance comparison analysis, decision matrices for 2018, 2019, 2020 were organized separately.

The following steps were made according to these matrices. The year 2020 is taken as an example to show the application steps in order.

In the first stage, the initial decision matrix is created. Table 4 below shows the initial decision matrix for 2020.

Table 4. Initial Decision Matrix (2020)

Target	Maks	Maks	Min	Min	Min	Maks	Maks	Maks
Alternatives/ Criteria	C1	C2	C3	C4	C5	C6	C7	C8
R1	0.479	0.596	0.785	0.000	1.087	0.063	0.132	0.0179
R2	0.335	0.987	0.673	0.012	1.983	0.059	0.176	0.0011
R3	0.471	0.980	0.525	0.012	1.121	0.084	0.179	0.0032

Source: Created by the author.

Equation (1) was used when preparing the table. The rows of the table contain reinsurance companies (alternatives) and the columns contain criteria. There are 3 alternatives and 8 criteria in the initial decision matrix with a total of  $3 \times 8 = 24$  elements. The first row of the table has target (Max/Min) information. Five of the criteria consisting of financial ratios are targeted at benefit (Max) and three are cost (Min) oriented.

In the second stage, normalization of the values in the initial decision matrix was performed. With normalization, the criteria values with different units are reduced to 0-1 range. Equations (2) and (3) were used when performing these operations. The normalized matrix is seen in Table 5.

Table 5. Normalized Matrix (2020)

Target	Maks	Maks	Min	Min	Min	Maks	Maks	Maks
Alternatives/ Criteria	C1	C2	C3	C4	C5	C6	C7	C8
R1	0.912	0.962	1.031	3.981	0.990	0.617	0.702	0.605
R2	0.872	0.999	1.051	1.397	0.918	0.609	0.738	0.425
R3	0.910	0.998	1.084	1.396	0.986	0.649	0.740	0.487

Source: Created by the author.

When editing Table 5, the criteria weights previously given in Table 2 were taken as exponent. Equation (2) was used for benefit-oriented criteria and Equation (3) was used for cost-oriented criteria in normalization processes.

In the third stage, performance scores were calculated in which all criteria for each alternative affected at different rates. Equation (5) was used to calculate performance scores. In this way, the sum of the multiplications

of the normalized values for all criteria on the basis of each alternative is taken. Thus, the weighted total multiplication method was applied.

In the fourth stage, the performance scores obtained on an alternative basis were sorted from large to small and the performance ranking of reinsurance companies for 2020 was formed. Table 6 below displays the performance scores and financial performance rankings of the companies.

*Table 6. Performance Score and Ranking-2020*

Alternative	Performance Score	Performance Ranking
Milli Reasürans TAŞ	0.933	1
VHV Reasürans AŞ	0.224	3
Türk Reasürans AŞ	0.317	2

Source: Created by the author.

According to Table 6, the company with the highest performance score (0.933 points) in 2020 was Milli Reasürans A.Ş. Therefore, the company in question has achieved to gain the top place in the performance rankings. The lowest performing company is VHV Reasürans.

The same application was made separately for 2018 and 2019. The highest performing company in 2018 was Milli Resürans A.Ş. with a performance score of 1,008, while in 2019 the same company achieved the highest score with a score of 0.418. The performance scores and performance ranking tables for these years are shown below.

*Table 7. Performance Score and Ranking-2019*

Alternative	Performance Score	Performance Ranking
Milli Reasürans TAŞ	0.418	1
VHV Reasürans AŞ	0.177	3
Türk Reasürans AŞ	0.394	2

Source: Created by the author.

*Table 8. Performance Score and Ranking-2018*

Alternative	Performance Score	Performance Ranking
Milli Reasürans TAŞ	1.008	1
VHV Reasürans AŞ	0.462	2
Türk Reasürans AŞ	-	-

Source: Created by the author.

Performance scores were averaged between 2018 and 2020 and the performance ranking of the companies was made. Table 7 includes the average performance of reinsurance companies operating in Turkey for 3 years.

*Table 9. Avarage Performance Score and Ranking Between 2018-2020*

Alternative	Performance Score	Performance Ranking
Milli Reasürans TAŞ	0.786	1
VHV Reasürans AŞ	0.288	3
Türk Reasürans AŞ	0.356	2

Source: Created by the author.

According to Table 9, the company with the highest performance score average between 2018 and 2020 was Milli Reasürans A.Ş. with a score of 0.786. Türk Reasürans A.Ş. was ranked 2nd with a performance score of 0.356, while VHV Reasürans A.Ş. was the last with a performance score of 0.288. As a result, the most financially successful company in the last three years is Milli Reasürans A.Ş. This success of the company in question was influenced by its high sector share, low financial debttness, high capital adequacy, and high profitability especially in 2018 and 2019.

## CONCLUSION

The increase of the assets of the insurance sector within the financial sector is extremely important for the entire national economy due to its function of transferring funds to the economy. The financial performance of reinsurance companies, which act as contributing to the financing of insurance companies, inheriting their risks and transferring some of these risks to other reinsurance companies abroad, affects other insurance companies. Reinsurance function is vital for the insurance sector to function effectively and create economic benefits. Thanks to the reinsurance function, the risks of insurance companies are spread over a wider geography, thus homogenizing the major risks within a more balanced portfolio structure. Thus, the capacities and flexibility of insurance companies increase by managing the big risks more easily.

In the study, the financial performance of reinsurance companies operating in Turkey between 2018 and 2020 was investigated based on capital adequacy, liquidity, leverage, profitability and sector share by using WPM method, which is one of the MCDM techniques

According to the performance analysis of reinsurance companies operating in Turkey, the most successful company between 2018 and 2020

was Milli Reasürans A.Ş. This company was followed by Türk Reasürans A.Ş. and VHV Reasürans A.Ş. respectively. High sector share, capital adequacy, profitability and low financial indebtedness were factors in the high performance of Milli Reasürans A.Ş. However, it is thought that this study comparing the financial performance of reinsurance companies in Turkey will be useful in testing with different MCDM techniques.

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# Chapter 5

## TRAVEL PHASE TOGETHER WITH SOCIAL MEDIA

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## INTRODUCTION

Travel has continued its existence since the people in primitive ages have set out and traveled great distances in order to look for such necessities as clothes, food, survival, and games. Throughout history, people have preferred travelling for economic, religious belief, trade, war, immigration, entertainment and other compelling purposes. In the Roman period, rich aristocrats, high government officials traveled for pleasure and entertainment purposes. Except for the Dark Age, travel have continued to increase throughout the recorded history and played an important role in the development of civilizations (Theobald, 2005, p. 5). Tourism sector has rapidly improved as a result of the development of civilizations, the enrichment of societies, the need of people for holidays caused by intense work pressure, the diversification, enhancement and development of transportation devices, the increase in people's free time, and the introduction of natural and historical values and beauties in various geographies of the world through technological development. By the 20<sup>th</sup> century, tourism sector has been able to make the greatest contribution to countries in terms of economic and socio cultural development (Önen, 2008, p. 2; Karataş & Babur, 2013, p. 16).

Buhalis & Costa (2006) have stated that the internet has altered time and place perception. The second wave of the life integrated with the internet is being experienced via mobile devices and by 2020, mobile devices will have been used together with other electronic devices (cars, television) (Şanlıöz, Dilek & Koçak, 2013, p. 253). Information technologies provide the information infrastructure required by tourism sector (Karataş & Babür, 2013, p. 19). However, it can be stated that the travel activities of tourists have different characteristics.

Photography has been associated with travel activities for a long time so it seems impossible for many people to travel without taking photographs (Nikjoo & Bakhsi, 2019, p. 89). According to Hilmann (2007), taking photographs plays different roles like proving the presence of the tourist in the destination and creating travel memories. In general, just like other people, tourists are increasingly becoming the (co)producers of media texts to be spread beyond the limited framework of traditional family albums and discussed outside this scope (Jansson, 2018, p. 102). Today, too many internet users are benefiting from lots of social websites to find old friends, make new friends and share lots of private information like photos, videos and blogs (Kim, Jeong & Lee, 2010, pp. 215-216).

### The Concept of Social Media and Social Network Websites

Technology and internet have made the concept of social media become well known. The small world phenomenon that was first mentioned by

the sociologist Stanley Milgram (1967), has been strengthened by people beginning to communicate through establishing connections on the Internet (Onat & Alikılıç, 2008, p. 1116). In the social environment where everyone is watching each other, people have almost been pleased to be observed. The lives shared with the known or unknown individuals, whether true or false, respond to the feeling of personal satisfaction (Aydınalp, 2013, p. 4).

Simply, social media is a communication-based process such as content sharing and personal comments where internet users contact online with each other. Creating travel experiences for a tourism consumer on social media is composed of three different stages as; past experiences, experiences during the travel and accommodation, and experiences after the travel and accommodation, respectively (Milano et al., 2011, p. 4).

Despite the fact that there is not a generally accepted social media definition, what is meant by social media is the websites with social content. According to Pempek, Yermolayeva & Calvert (2008, p. 230), social network in social media is defined as internet communities sharing the profile information to users, discussing and collaborating (Kim, Jeong & Lee, 2010, p. 216; Kietzman Hermkens, McCarthy & Silvestre; 2011, p. 242; Eryılmaz & Zengin, 2014, p. 148), allowing communication with other users through means like sending personal or online messages, sharing photos and videos, enabling collaboration and interaction (Palmer & Lewis, 2009, p. 165; Evans, 2008, p. 33; Köksal & Özdemir, 2013, p. 325). According to the definitions of Kaplan & Haenlein (2010, p. 61), Yayla (2010, p. 59), Barutçu & Tomaş (2013, p. 8), social media is based on the ideological and technological basis of Web 2.0; and according to Hacıefendioğlu & Fırat (2014, p. 88) and Kirtiş & Karahan (2011), social media is a set of internet-based applications like Facebook and Myspace that allow the socialization, and formation and modification of the content created by the user. Social networking websites can also significantly affect the decisions of purchasing goods and services as a platform where consumers share all their experiences with each other (Hacıefendioğlu & Fırat, 2010). They can also offer important opportunities for businesses in terms of sharing the positive and negative experiences of consumers about goods and services on social networking websites and being able to influence other consumers' purchasing decisions.

According to Onat & Alikılıç (2008), social media environments can be fundamentally grouped into seven groups as; e-mail groups, blogs, forums, institutional intranet, extranet, instant message services, and social networking websites. It is possible to increase the number of definitions but when the definitions are considered, it can be revealed that there is a common set of features in almost all of them:

- Social media is a communication setting.
- Social media is a platform where individuals exchange information mutually.
- Social media is a tool enabling individuals to socialize.

The important common features of the many websites with social content like social networks, video and photo sharing websites, micro blogs, movie and music websites can be collected under the following headings (Kim, Jeong & Lee, 2010, p. 218):

1. Personal Profile: Social websites usually ask their members to create a profile with their personal information and aim to recognize who their own members are.
2. Setting Online Connection: The website being registered reminds and encourages you to communicate with the people and friends you have contacted in the same setting based on e-mail connections.
3. Joining Online Groups: It is possible to create online groups within the websites like LinkedIn, Facebook, Myspace and Flickr, invite the members in the website to your group and become a member of other groups.
4. Contacting Online Connections: Many websites with social content provide users such opportunities as sharing e-mail addresses, leaving text messages, creating a public or private bulletin board with their friends or with others.
5. Sharing the Content Created by Users: Many social media tools, blogs, micro blogs, and websites enabling to share pictures, videos, music, etc. provide users with the opportunity to share and disseminate the content they have created with their friends or other people. For shaping their relationships, travelers try sharing their knowledge and experiences on social media tools like Facebook, Instagram and TripAdvisor (Munar & Jacobsen, 2014, p. 46).
6. Opinions and Comments: Most of the websites with social content allow users to write comments and express opinions on the content such as published information, news, video, and pictures. Along with social media, tourists are both actors and narrators sharing travel experiences instantly (Nikjoo & Bakhsi, 2019).
7. Getting Information: Despite the fact that the websites with social content generally provide the information, content and person searched after being online, they can also share the information, content and person searched according to the preferences and features of the website without even being online. For example, while Twitter allows to search for

people without being online, LinkedIn shares the information of person, profession, job, company and group with basic key word search.

8. Keeping Users on the Website: Many websites with social content develop various features to be able to keep their users on the website longer and make return back in a shorter time. An example of this can be given as Facebook's "Market Place" application, which can be used for marketing purposes (Milano et al., 2011, p. 4).

Today, with the rapid developments in information and communication technologies, travel blogs and diaries have been replaced by personal blogs, social media accounts and forums so as to be able to obtain information about a region (Okul & Aslıtürk, 2018, p. 20). Social networks are used worldwide as a revolution that enables the publication of people's private lives (Baughman, 2010, p. 933). In social networks, individuals can meet, communicate and share content with each other, and create discussion settings and groups (Karadag, 2010, p. 82). Social networking websites are the latest online communication tools that allow everyone to reach them and create a personal profile, and enable the communication of their users (Kirschner & Karpinski, 2010, p. 3). Besides, these websites are used as online tools in which information and activities like cultural events, pictures, group addresses, books, music, cinema, video, friendship, and political thoughts are shared.

Via social networks and social media, it has become easier for thousands of people to communicate with each other as if they were just a single individual (Owen & Humphrey, 2009, p. 3). Socialization through the internet has an important place especially among young adults (Kirschner & Karpinski, 2010, p. 3) and today, millions of young adults are using social networking websites (Pempek et al., 2009, pp. 227-228).

The participation in popular social networking websites like Myspace and Facebook has increased tremendously in the recent years, especially among young people and young adults (Li, 2007, pp. 1-4). The reason for this is the fact that they spend too much time on social networks. These websites are frequently used by individuals to obtain specific information about each other; especially in making new friends and finding old friends (Morgan, Snelson & Elison-Bowers, 2010).

### **Tourism and Social Media**

One of the most widely used new technologies is sharing experiences on social media (Facebook, Twitter etc.) (Buhalis & Costa 2006, 13). Through social media (including tourism communities, blogs and sub-types as well as the mainstream platforms such as Facebook, Flickr and Instagram), people can instantly follow, share, evaluate and discuss



different content (including mainstream media reports, private photos and videos) (Jansson, 2018, p. 103).

According to Cox, Burgess, Sellitto & Buultjens (2009), social media is mostly used before going on a vacation and its use is very limited during and after the vacation. In this regard, the increase in the duration of internet use can be considered to be related with the internet that can be used during the vacation.

Thanks to social media, tourists can at the same time be in more than one place and show themselves not only in the travel destination, but also in the cities where they are together with their friends and relatives or in other places (Larsen, 2006). In either case, tourists are both actors and narrators sharing travel experiences instantly (Bell & Lyall, 2005). The fact that social media influences tourists in the area of sharing travel photos and experiences provides a good opportunity to investigate travel behaviors (Nikjoo & Bakhsi, 2019, p. 90).

According to Buhalis & Costa (2006, p. 10), tourism consumption can be divided according to the communication and information requirements of consumers. These stages can also be used with the management of smart phone applications. In the pre-consumption phase, users wish to make plans, shape their future travel expectations, make decisions, take actions and create their own personal expectations. The consumption stage is the connection, navigation and short-term decision-making process, all of which are important factors for a tourist. The last stage is the post-consumption phase that takes place after the vacation. The process of creating travel experiences for a tourism consumer on social media is composed of three different stages. These stages are as follows (Milano, Baggio & Piattelli, 2011, p. 4):

- Past experience: Past experience is composed of the travel stories of other people. It ensures that the tourism consumer receives information before making the travel decision.
- Experience during the travel and accommodation: In accordance with the developments in information and communication technologies, tourism consumers are able to share their real-time experiences on social media platforms through mobile applications.
- Experience after the travel and accommodation: It involves the comments, evaluations and feelings expressed about the travel experiences of tourism consumers on social media platforms after the travel.

The desire of tourists to share and document the experience is associated with re-experiencing the travel by activating external memory and connecting with the places visited (Parro, 2013, p. 19).

## LITERATURE

Nikjoo & Bakhsi (2019) aimed to find out the extent of human presence in the travel photos shared by people traveling to Iran and determined that sixty percent of the photos shared did not involve people. Besides, they found that most of the photographs involving people only involved the tourists and those accompanying them during their travels, and that portrait photographs had the highest ratio.

İlban & Güleç (2018) aimed to reveal whether the intensity of social media use had a mediating role in the interaction between social media use, the satisfaction gained from this use and touristic experience. For this purpose, a survey was conducted through convenience sampling method on 389 local tourists visiting Edremit Bay. The data obtained from this sample group was analyzed and as a result of the analysis, it was concluded that the motivations encouraging tourists to use social media affected touristic experiences through the intensity of using social media.

Eryılmaz & Şengül (2016) aimed to measure the effect of local food photographs shared on social media on the travel preferences of tourists. Therefore, a study was done in order to determine the effects of local food sharing on social media users. In the light of the responses given by the participants, it was determined that most frequently used social networks were Facebook, Instagram, Twitter, Google+, and Foursquare.

Üçer (2016) examined the reasons of social media use by the university students within the context of use and satisfaction approach. In the focus group meetings held with the students of Yeditepe University Faculty of Communication using social media, young adults were asked questions regarding their preferences, frequencies, reasons, sharing contents and access types of social media use. The research focused on the students' use of social media tools such as Facebook, Twitter and Instagram. Within the scope of this qualitative research, some of the findings obtained were that the students used Facebook and Twitter less, that they used Facebook for social interaction and obtaining information, Twitter for being informed about the news and expressing thoughts, and Instagram mostly for fun and spending time.

Arat & Dursun (2016) carried out a research in order to evaluate the use and effects of social networking websites on the consumers' travel and accommodation preferences, and analyzed the data obtained from 500 students at Selçuk University who were also tourism consumers and members of social networking websites. In terms of the frequency of visiting the social networking sites during the day, it was revealed that tourism consumers mostly visited these websites 12 times and more, and 10-11 times. According to the results of the research, it was noted that

tourism consumers had information and thoughts about hotel enterprises by using social networking websites.

Çetinsöz & Akdağ (2015) aimed to determine how local tourists evaluated social media in their holiday processes and the impacts of social media use on individuals' holiday decisions. The sample group of the study was composed of the academic and administrative staff at Mersin University. In data collection process, the scale used by Fotis, Buhalis & Rossides (2012) in their study entitled "Social media use and effect during holiday planning process" was utilized as the data collection tool. In data analysis, descriptive analyses (arithmetic mean and standard deviation), and statistical tests like exploratory and confirmatory factor analysis, reliability and regression analysis were utilized. As a result, the holiday processes of local tourists (before, during and after the holiday) were determined and it was concluded that social media use of the participants before the holiday affected their holiday decisions.

## **SUBJECT AND PURPOSE**

### **The Importance of the Subject and Expected Benefits**

With the popularity of social media and digital cameras, photography behavior has become more social. Switching from analog cameras to digital cameras made photography less formulaic and more individual (Larsen, 2008). As Tsiotsou & Ratten (2010) have also stated, technological developments have brought about serious changes in consumer behaviors. In order to shape their relationships, travelers try sharing their knowledge and experiences on such social media tools as Facebook, Instagram, TripAdvisor (Munar & Jacobsen, 2014; Zeng & Gerritsen, 2014) Twitter and YouTube.

In addition to this, despite the fact that plenty of researches have been conducted on tourism marketing and social media, studies on tourism behavior are scarce in the literature. In fact, it is thought that the touristic travel phases have changed along with social media. Accordingly, the touristic travel phases are expected to experience a change due to the effects of social media.

As mentioned above, this study is expected to contribute to the literature of both international and domestic tourism behavior. Touristic travel phases (dreamt travel phase, experienced travel phase and extended travel phase) will cause the experienced travel phase to change. In other words, it will cause such content as shared travel phase and unshared travel phase to be involved in the experienced travel phase. In this regard, it is thought that touristic travel phases have been transformed into a new aspect with technology.

The research question of this study is *“Is there a change in touristic travel phases with the emergence of social media tools and the increase in their use with the development of technology, and has their contents changed?”*. For this purpose, the following sub-questions are asked.

1. Which of the social media tools do the people going on touristic travels use?

2. When do the tourists having a touristic experience start using social media tools on their travels?

3. While the extended travel phase process is a travel phase at the end of the holiday, has it changed with the development of technology?

## **MATERIAL AND METHOD**

Qualitative research is the expression of a reductive, exploratory and interpretive process that the researcher carries out in order to observe people in their natural environment and examine the occurrence processes of events and phenomena with the aim of explaining the basic characteristics of the individual and social events and phenomena experienced by people (Creswell, 2013; Mertens, 2014). In general, the sample of qualitative research is the individual(s) or group(s) with a depth to attain the solution of the research problem (Finnegan, 1996).

In qualitative data analysis, a researcher collects the data, reduces the data, groups the data in codes, and creates specific categories by counting the grouped codes. Later on, the researcher creates themes from these categories involving the grouped codes (Patton, 2002). The process of examining the relationships among themes and making comparisons in qualitative data analysis is performed at the stage of forming the results (Read, Toye & Wynaden, 2016).

The credibility of the results is considered one of the most significant criteria of scientific research. In this regard, validity and reliability are two most commonly used criteria in research. In quantitative studies, it is expected that the researcher tests the validity and reliability of the data collection tools and research design very carefully and reports the results to the readers. In qualitative research, validity and reliability are handled with a different perspective when compared to quantitative research (Yıldırım & Şimşek, 2013).

The most well-known and applied strategy in increasing the internal validity of a study is probably the triangulation technique. The question to be asked in this case should be “How convincing are these results?” and “Can the findings be repeated in the studies with the same or similar sample groups?”. Triangulation is the comparison of the results of two or more

data collection methods (e.g. interviews and observations) or two or more data sources (e.g. individual interviews with different group members). In this regard, first of all, a travel agency was contacted and the researcher participated in a tour to Cappadocia in Turkey organized between the dates of 16-17 November 2019. Before going on the tour in which the participatory observation was made, the travel agency executive and the tourist guide responsible for the tour were informed before the tour. The number of tourists participating in the tour was 32. The tour departed from Adana and it was a one-night-stay tour. From the beginning of the tour till the end, the tourists were accompanied by the researcher as if he were one of them and the observation was completed. During the tour, it was only observed whether the tourists made sharing with their phones and found out that 28 of the participants made sharing. Following that, the travel agency was contacted and by using the social media accounts of the travel agency, an invitation was sent in order to reach the social media accounts of the local tourists participating in the tour. Afterwards, social media accounts (Facebook, Instagram and Twitter) of the 25 participants who became online friends with the travel agency by accepting the invitation of the travel agency's social media account were checked whether the participants made any sharing regarding the tour. In this context, the population of the research was composed of the tourists who accepted the invitations sent to their social media accounts by the travel agency. In the next step; a structured interview form was sent to them under the name of the travel agency, they were asked to answer the research questions, and data accuracy was checked.

Indeed, as stated above, the codes regarding the research were determined first. While determining these codes, the responses obtained from the participants were taken into consideration. The information presented in the first table was the demographic information obtained from the participants. In the second table, the social media tools used by the participants (those they made sharing before, during and after the travel) were asked and presented accordingly. Finally, in the third table where the data obtained from the participants were presented, the participants were asked about the times they made sharing during the travel, and the table was created accordingly. In this regard, the data obtained was presented in a row.

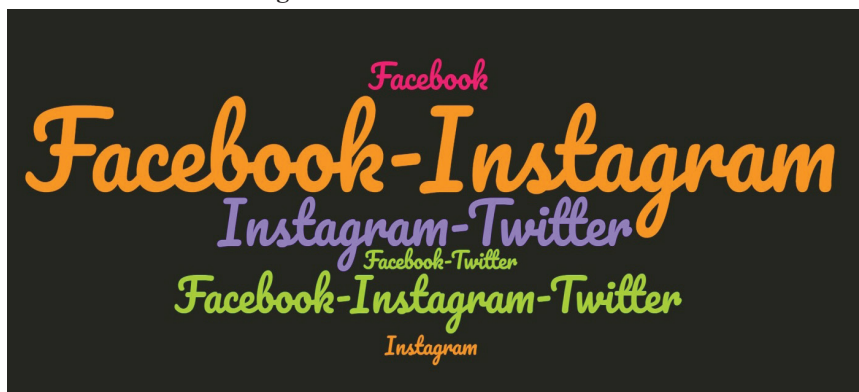
In this study, except for the data obtained from the tourists, the social media tools they used during the time of the research were followed and the basis of the information they provided was checked. In this regard, the times when the tourists went on the tours before, the social media tools and the moments they shared, as well as the moments during the tour were presented in the findings section and all these were discussed in the conclusion section.

FINDINGS

Figure 1. Demographic Characteristics of the Participants



According to Table 1, the age ratio of the participants in the research were; 9 people (36%) between 20-30 years old, 5 people (20%) between 31-40, 4 people (16%) between 41-50 years old, 3 people (12%) between 51-60 years old, and 4 people (16%) 61 and above years old. 16 of the participants (64%) were female and 9 of them (36%) were male. Besides, 16 of the participants (64%) were married and 9 of them (36%) were single. In general, the participants were of various occupational groups. In addition to all these, the monthly incomes of the participants were; 1 person (4%) earned between 1000-3000 Turkish Liras, 8 people (32%) earned between 3001-5000 Turkish Liras, 11 people (40%) earned between 5001-7000 Turkish Liras, and 5 people (16%) earned 7001 Turkish Liras and above. As it is a study on social media, the participants were asked about their daily use of phone and it was revealed that 4 people (16%) used their phones between 0-1 hour a day, 4 people (16%) used between 2-3 hours a day, 13 people (52%) used between 4-6 hours a day, and 4 people (16%) used 7 hours a day and above.

**Figure 2.** *Social Media Tools Used*

According to Table 2, 2 of the Participants (8%) only used Instagram, 3 of them (12%) only used Facebook, 5 of them (20%) used Instagram and Twitter, 2 of them (8%) used Facebook and Twitter, 9 of them (36%) used Facebook and Instagram, and 4 of them (16%) used not only Facebook but also Instagram and Twitter. In this regard, it could be said that all the participants used social media tools.

**Figure 3.** *The Time of Social Media Use*

Participant –The Time of Use(Figure 3)

**Participant 1;** I only use Facebook, I usually use it many times when I start my vacation and during the holiday. I am sharing nature photos and the photos with my friends. **Participant 2;** I use Instagram and Twitter. I used to use Facebook too but I stopped using it as its function was reduced. In general, when the holiday starts, I share a photo at the very first moment (when I get on the bus). During the holiday, sharing in historical places, museums or any other places. **Participant 3;** When the holiday starts, I



make a location notification on Facebook and use Instagram at the same time. I use my social media tools during the holiday. **Participant 4;** If I go somewhere within the country, in general, I make sharing at the beginning of the holiday, when I get on the bus. Then, I use it in different places I go to. **Participant 5;** I sometimes make sharing in the hotel or place where the holiday begins. I don't use them all the time. **Participant 6;** I do live broadcast when the holiday begins, and I even do this on the bus. I started to have a more enjoyable holiday with social media. I can share the moment and place I experience. **Participant 7;** I rarely make sharing during the holiday. I don't know much, sometimes my friends help and I share in this way. **Participant 8;** We find it difficult to find internet in the holidays abroad. In this regard, I am making a location notification when the holiday begins. Then, I can make sharing in the places where we can find internet. I can easily make sharing anywhere within the country. **Participant 9;** I share in the places we visit, and even some of my friends open a live broadcast on the bus, which, obviously, I don't like as we share private life by doing this. **Participant 10;** I share some of the places I visit on Facebook. I spend a great deal of the day on the Internet. It is nice to enjoy my time. **Participant 11;** I do a lot of sharing during the holiday. I've been using only Instagram for a long time. I can even do shopping online. **Participant 12;** I am constantly sharing when the holiday begins and during the holiday. I like it. My friends envy my trips and go on a trip. **Participant 13;** I have been using social media since smart phones were released. I am constantly sharing on the tours I go. **Participant 14;** I always use my social media tools. Of course I use them when I go on a tour. I share the photos of the places I take both on social media and with a few friends privately. **Participant 15;** Of the social media tools, I only use Instagram. I rarely use it on vacations. **Participant 16;** When I go on vacations, I occasionally make sharing. I like that my friends see the places I visit and they like my shares. **Participant 17;** I use it when I travel abroad. Within the country, I can make sharing at any time. Social media has occupied a place in our lives. **Participant 18;** I sometimes share when I go on a tour. Even if I think that face-to-face communication with people is more important, social media is also in our lives. **Participant 19;** I sometimes share at the beginning of the tour and at the arrival. Later on, if there is a special moment for me, I also share it. **Participant 20;** I share during the tour. Sometimes I broadcast live. **Participant 21;** I share posts on the tours I go. I share a few posts during the tour. **Participant 22;** I share when we begin the tour and in the places we visit. **Participant 23;** I make sharing for the memories of my travel moments. My friends see it at that moment. At other times, I like the reminders and the notification of where I was last year. **Participant 24;** When I go on a tour, I make a few posts, though rare. My grandchildren wonder the places I visit. **Participant**



25; My wife is wondering where I am when I go on tour so I make sharing from beginning till the end of the tour. I share everywhere I go during the tour. Although the moment of sharing is not very important to me, my friends also wonder the places I visit.

As could be seen in Figure 3, it could be understood that all the tourists made sharing. In this regard, it was revealed that they made sharing at the beginning of the tour, during the tour and in the places visited, and that they shared the places and moments they liked. Besides, the social media tools of the participants participating in the tour were checked from the account followed in advance.

## CONCLUSION

In conclusion, the age ranges of the tourists were between 24-68 years of age. The participants involved female and male individuals as one single tour was considered. It could be seen that people from various occupational groups participated in the tour. In addition to this, it was revealed that those who used their phones the least used them up to one hour, while the most used them up to seven hours and above. In this regard, it should be noted how effective phones have been in our lives. It could also be understood that all the participants, from the oldest to the youngest, had at least one of the social media tools. According to Aymankuy, Soydaç & Saçlı (2013), social media has an important effect on the tourism sector today, just as in almost all areas of our lives. In this regard, it can be said that the ratio of those sharing on social media is increasing day by day.

When tourists share on their social media, they aim to enhance their relationship with others (Munar & Jacobsen, 2014; Zeng & Gerritsen, 2014); by being active on social media, tourists can not only show that they are present in the destination but also interact with their family members and friends and communicate with them through comments and messages. Some participant sex pressed that they broadcasted live throughout the tour. This finding reveals that all the features of social media are used. In addition to this, it can also be noted how effective social media is in observing people. In the past, only some of the tourists used to have cameras, whereas today, thanks to smart phones, this tool can be used by almost all tourists (Nikjoo & Bakhsi, 2019, p. 89). In this regard, it can be said that these tools have undergone a change along with social media.

Tourists sometimes take photos with their friends and family members, which means that they are not always alone. Tourists can create more meaningful experiences by taking photos with their travel companions (Wang, Park & Fesenmaier, 2012). Furthermore, many tourists share their photos with their companions, talk about their common experiences, review

their memories and have fun while doing these activities. As can also be understood from the research question, in this study, it is thought that the travel phases of the tourists have undergone a change as they have begun to use their social media and tools. In accordance with the results of the research findings, some of the tourists began to make sharing by using the social media tools in the process prior to the beginning of their vacations. In this regard, it is possible to state that for some tourists, the experienced travel phase, which is one of the travel phases, began together with the start of the tour and with the arrival to the destination, not after the tour. In the past, tourists used to take photos or buy souvenirs from the touristic areas they visited. At the end of the vacation, they used to experience the dream travel phase by looking at them. However, it was revealed in the study that with the development of social media, tourists began to share on social media tools at the very first moment they started the tour, that is to say, in the experienced travel phase. Thus, it can be said that this situation has led to a change in the travel phases. In this respect, while the travel phases are the dream travel phase, the experienced travel phase and the extended travel phase, it can be said that the shared or unshared travel phases are also involved in the experienced travel phase.

The importance of social media has become prominent once again. Investing in information technologies, especially in mobile marketing, requires important managerial skills such as long-term planning, vision creation and risk management (Şanlıöz, Dilek & Koçak, 2013, p. 258). In this regard, it is difficult to predict the point which social media and its tools will reach in the future.

For future research; it is obvious that conducting a study using quantitative methods, as this research has a qualitative research design, will enable to obtain more data on the subject. In addition to this, there is only one tour participated in the study due its research methodology. It should not be underestimated that more diverse data can be obtained when the study is tested with different tour groups and in different places.

This study was conducted by taking into consideration the experienced travel phase and the extended travel phase. Studying all the travel phases together in future studies may produce different results. Besides, it is considered that a future study carried out with sociologists, marketers and tourism professionals together will reveal all the aspects of the travel phases. Furthermore, it is also thought that the data to be collected from all the tourist groups through a study conducted in different countries may produce further results.

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# Chapter 6

FROM ‘CAHIERS DU CINÉMA’ TO  
AUTEUR THEORY: COMMEMORATING/  
UNDERSTANDING TRUFFAUT IN HIS 60TH YEAR  
OF MASTERPIECE

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## Introduction

This study is based on a commemoration and understanding of the auteur theory, which is based on the ‘creative director’ theory in the 60th anniversary of his master piece, auteur director François Truffaut, one of the pioneers of the French New Wave movement. His unique style and innovations are analyzed again and with a different point of view in the 60th anniversary of the 1959 film “Les quatre cents coups”, in which he put forward the “creative director” theory and applied this theory. Different from existing studies in the literature, Truffaut and his contributions to Turkish cinema in the context of the directors who are influenced / inspired by his views will also be emphasized.

The 1960’s and later are known as the years when art was rewritten. New Wave Stream directors not only give examples of art cinema, but also adopt a “against” approach to Hollywood cinema. “The New Wave creates a story in a style different from the Classic Hollywood Narrative. The narrative scenes do not follow each other meaningfully, the audience never knows what will happen “next”. For example, a funny scene can be completed with a murder” (Biryıldız, 2016: 96-97). The magazine “Cahiers du cinéma” (Cinema Notebooks) published by the theorist and critic André Bazin in 1951 was instrumental in the emergence of this trend. Names such as Jean Luc Godard, François Truffaut, Claude Chabrol, Rivette, Resnais gather around this magazine to be a critic. These directors develop themselves through the Cinematheque Association, to which Henri Langlois provides financial support. The directors who regularly participated in the films shown in the Cinematheque watched the world cinema history together and made criticisms about their country’s cinemas. In particular, they criticized the Hollywood-style film production system that engulfs the audience and does not put them in the thinking process. The directors, who are influenced by André Bazin’s views, form their basic principles in this direction and give their first literary examples. As a result, these directors gave important works on behalf of the French Cinema and pioneered the start of the Nouvelle Vague, the New Wave movement.

Politique des auteurs “Creative Theory” criticism of François Truffaut, one of the pioneers of the New Wave, published in Cahiers du cinéma magazine has an important place in the history of cinema. The theory was developed by the magazine’s critics on Hollywood movies they had the opportunity to watch together after the Second World War. The creativity of the director lies at the basis of the auteur theory. The director is an auteur if he puts the production of art by putting aside commercial purposes in the filmmaking process. The term “auteur”, which means creative director, artist director, writer director, distinguishes between “metteur scène” and “creative director” and emphasizes that the director should take an active

role in every stage of the film process.

“François Truffaut, one of the most important directors of the French New Wave cinema, while writing for *Cahiers du Cinema* magazine, created a different cinema tradition by confronting the old cinema, namely studio-style cinema called ‘quality tradition’, with a new understanding. Portable cameras, movies with low budgets and the tradition of making films inspired by their own lives became the characteristics of these New Wave directors. Truffaut, who started to work as a critic in the magazine *Cahiers du Cinema*, introduced the theory titled “la politique des Auteurs”, which was later translated into English as “auteur theory”. “Creative Directors Policy”, this view, which defends that the film should be the product of the director, has mostly been adopted by the critics gathered around Andre Bazin” (Odabaş, 2020).

André Bazin draws attention to the distinction between auteur and metteur en scene (staging master) and describes the auteur director as the creator of the film and his signature in the film. François Truffaut, in his article titled “A Certain Tendency of French Cinema” published in *Cinema Notebooks* in 1954, developed the “policy of creative directors” based on Bazin’s view. Truffaut’s criticism has been accepted as the starting manifesto of French New Wave Cinema.

In line with the information briefly cited above, this study was developed in the framework of the cinema aesthetics adopted by François Truffaut, one of the pioneers of the auteur theory and the New Wave, the examination of the original form and content features in his selected films, and “Les quatre cents coups” (400 Blows) on the 60th anniversary of the auteur theory. After the analysis of his film, Truffaut’s contribution to Turkish cinema is based on his analysis in the context of directors influenced by him and his views. The reason for choosing this film is that Truffaut’s film is autobiographical and an artistic masterpiece in which it reveals the auteur view.

### **1-Auteur Theory**

The concept of “auteur”, which first entered the cinema at the end of the 1940s, literally means “author, creator”. The concept of auteur first appeared in Paris. The auteur movement, which developed as a result of the direction of different screenwriters and critics, becomes an important theory in world cinema. Critics who work on the auteur theory develop different methods. Since its emergence, the theory has developed in the form of polemics and mutual criticism, not in an orderly and systematic manner. The auteur theory means that the filmmaker has a unique world, from the frame to the discourse, and reflects this on the film. Auteur refers to an artist who owns a copyright, who can appear to his work, his

characters, his style of expression, his worldview and attitude towards life, as if he were signing the text (or film) in a different way than other writers or directors. In this context, if we know the person who created a movie or a work because of the saying itself, not the production history, the subject or even the story, this becomes an “auteur” in the real sense (Aitken, 2015: 10-11).

The creativity of the director lies at the basis of the auteur theory. If the director prioritizes producing art by putting aside commercial purposes in the filmmaking process, he is an auteur. The term “auteur”, which means creative director, artist director, writer director, distinguishes between *metteur en scène* and creative director and emphasizes that the director should take an active role in every stage of the film process.

Germany's invasion of France during World War II inevitably affects French cinema. The Vichy Government, under the direction of the French cinema industry, imposes many quotas and restrictions. The screening of American and British films is prohibited in the country. Generally German news and propaganda films are shown. French films shot in the country, on the other hand, enter the theaters after being strictly controlled by the German and the Vichy Government. French cinema cannot progress because the topics covered by French directors in their films are restricted. With the end of the Second World War, radical changes are experienced in France. A quota system has been introduced for films. Only 120 American movies will be screened dubbed in French. The post-war quota system was abolished. Later, it was obliged to show 37% French films throughout the year. With the abolition of the quota, the quota was brought to a new quota after the movie theaters were filled with American movies and the number of American movie screenings was limited to 120 (Teksoy, 2005: 395). As a result of the liberation of the banned films, the interest of the audience, the support of the state to the cinema, and the increase in production are the elements that revive French cinema. Cinema clubs, which have become widespread in France, have become widely used venues for movie screenings. “These institutions had a very different distribution and display characteristic than in the United States: The very large production companies in the United States also owned all of the halls where their productions were shown. On the contrary, the majority of cinema clubs in France were independent organizations; The cinema clubs were run by avant-garde directors, who also included their work in the program, or were organized in collaboration with them” (Bickerton, 2012: 4). “The fact that the cinema clubs cover the whole of Paris, the ability to watch all the old and newly shot films again and again thanks to the archive of Cinémathèque Française established by Henri Langlois, affects young people who are interested in cinema, especially young critics of the cinema magazine” (Kuyucak Esen, 2013: 37). Watching films repeatedly has

given critics the ability to make comparisons between films. It helped the directors see their styles and differences. Cinematheque (La Cinémathèque Française) under the direction of Henri Langlois played an important role in the development of the cinema culture of writers such as Claude Chabrol, François Truffaut, Eric Rohmer, Jean-Luc Godard and Rivvet. They begin to discuss among themselves the elements such as the language, originality and story of the movies they watched at the Cinematheque. They look for the traces of the original or creative director in movies. Leaving the commercial concern of studios dominated by the star system, they discover films by some directors. Among the creative directors they have discovered are names such as Alfred Hitchcock, Orson Welles, and Howard Hawks.

The first steps towards the auteur theory are taken by Alexandre Astruc. Astruc, in his article titled 'Naissance d'une Nouvelle Avant-Garde: La CameraStylo' (Birth of a New Avant-Garde: Buyer-Stylo), published in the magazine "L'Ecran Français" in 1948, has always been criticized for producing films that followed the same line. He emphasized that cinema, like painting and novel, is an autonomous expression tool, and that great directors such as Bresson, Renoir, Rossellini, and Welles use the receiver in the same way as an author's pen. No technical knowledge was required to make a movie. A person with a cinema culture could convey his thought through cinema, just like a novel, an essay writer" (Teksoy, 2005: 483). These thoughts of Astruc led the critics clustered around Cinematheque. Around the magazine Cahiers du cinéma (Cinema Notebooks) published in April 1951 under the leadership of André Bazin, names such as François Truffaut, Eric Rohmer, Jean Luc Godard, Rivette and Chabrol gather to form the first editorial team. In François Truffaut's article entitled "A Certain Tendency of French Cinema" (1954) published in Cahiers du cinéma magazine, he laid the foundation for "Creative Writers Policy". This article is considered as a manifesto of a new cinema concept.

## **2- François Truffaut and Creative Directors Policy**

François Truffaut based his groundbreaking article "A Certain Tendency of French Cinema" on "auteur cinema". In this article, Truffaut attacked "French Cinema under the influence of psychological realism and criticized the tradition of quality. "Criticizing the prominence of scenario, dialogues and genres in French films during this period and the excessive importance attached to quality, the author stated that these films did not have any other contribution other than being considered commercially successful" (Kablamacı, 2011: 65). Truffaut advocated for directors to be creative by breaking the mold. Truffaut argued that the excessive importance French cinema attaches to "quality" gives the audience the desired result in commercial terms (Teksoy, 2005: 483).

Truffaut divided French cinema into “auteur cinema” and “quality tradition cinema”. He argued that the film should belong to the director, not the producer (Kablamacı, 2011: 65). According to Truffaut, “the tradition of quality has existed for a long time, dealing with problems related to the image with sound tape, using clean spaces to obtain only masterful frames on the screen, complex lighting, a very elaborate photograph; This thing called equivalence put forward to save difficulties is nothing more than a cowardly cunning” (Truffaut, 2010: 34). French cinema is in competition with Hollywood cinema, which dominated the sector as of its period. The films that emerged in this competitive period are generally those with a star player system, high production costs, and especially the scenario. According to this understanding, which is called the tradition of quality, the film is completed when the script is delivered and the director is only the gentleman who framed the script. Jean Aurench, Roland Laudenbach, Jacques Sigurd, Henri Jeanson, Pierre Bost, Robert Scipion, etc. are names included in the quality tradition (Truffaut, 2010: 28-37). Truffaut argues that these names continue to maintain the tradition of quality and devalue French cinema. He explains that the screenwriters deal with the same stories for profit and the directors put their creative side behind by sticking to these scenarios: “There are only seven or eight screenwriters who regularly work for French cinema. It would not be an exaggeration to say that each of these screenwriters have only one story to tell, and that each of them desires the success of ‘two big ones’, that the one hundred French films translated each year tell the same story” (Truffaut 2010: 36).

François Truffaut divides the directors into two: Auteur and metteur en scène (stage master/stager.). “There is a dimension of meaning in the Auteur’s work, it is not entirely formal; On the other hand, the work of metteur en scene does not go beyond a stage display, putting a text such as a script, book or play into a synthesis of special, cinematic codes and channels” (Wollen, 2004: 70). Auteur directors are people who find their own subject, write their own dialogues and direct their films. He lists the names he sees as auteurs, such as Abel Gance, Jean Renoir, Bresson, and Max Ophuls (Kablamacı, 2011: 66). “An auteur, unlike a mere director, is a filmmaker with a worldview that he puts forth through his own mise en scène (mise en scène). While its subject was not special, it was the way its creator handled it that made it valuable; Even the weakest detective story could turn into a masterpiece in the hands of a master. Therefore, rather than focusing on the content, it involves focusing on this cinematic scene from which the auteur’s “architectural ornaments” or sign can be obtained. An auteur’s worst film would be evaluated in this way, as opposed to being subjected to a work-by-work analysis ” (Bickerton, 2012: 30).

For Truffaut, filmmaking should be seen as an open-ended adventure

in creative setting. The Auteur director should reflect his personality in the film. “Actually, this theory originates with Alexandre Astruc. In a 1948 article, Astruc introduced the idea of “camera-stylo”, that is, the idea of camera-pen, and Astruc states that a literary writer and a film director should be considered on the same plane. Astruc says that just as a literary work belongs only to the author, a film belongs only to the director ” (Odabaş, 2020).

Opinions in Truffaut’s article “A Certain Tendency of French Cinema” also influenced the authors of Cahiers du Cinéma magazine. “Journal writers have adopted the distinction between “auteur” and “metteur en scène”; presenting artistic creativity and a coherent worldview and reflecting their own styles to films, they have put the understanding of metteur en scene, who only knows the language of cinema but cannot reflect their creativity. Thus, the term auteur enabled them to refer both to the distinguishable style of the director through mise en scene and to the film production practices in which the director has signed the film as well as in the script” (Kablamacı, 2011: 66). “At the end of the Chaiers du cinéma article, Truffaut struck the final blow by reproducing many scenes from the rejected adaptation text written by Aurenche and Bost” (Andrew, 2010: 222).

### **3- Commemorating François Truffaut on the 60th Anniversary of His Masterpiece**

*“only emotions, there is nothing in my films except emotions ...”*  
Truffaut.



**Figure 1: François Truffaut**



### 3.1. Biography and His Sense of Art

François Truffaut was born in Paris on February 6, 1932, as a result of an extra-marital affair. Some time after her mother François was born, she married Rolan Truffaut. His mother sent Truffaut to his maternal grandmother some time after his marriage. François never met his real father, a Jewish dentist. Having had a difficult childhood, François grew up in the triangle of her grandmother, mother and stepfather. It begins with watching “Paradis Perdu” by his love for cinema at the age of 8, Abel Gance. As his interest in cinema increased, he ran away from school and went to the secret cinema (URL 1).

In 1969, the New York Times Magazine told Sanche de Gramont, “I was very sensitive to the heartfelt affairs of those around me, couples, adultery, so when I read Madame Bovary I found a complete identity with her, she had money problems, and I was secretly meeting her lover. I was going to the movies secretly ” (Bergan, 2010: ix).

“I really needed to get into the movies and I could do that by sitting closer and closer to the big screen to ignore the movie theater; Unlike younger audiences my age, I equated myself not with heroic characters, unlike small audiences, but with the disabled and rather with characters who made mistakes. It was easy to understand that Alfred Hitchcock’s work devoted entirely to fear fascinated me from the very beginning ” (Truffaut, 2015: 22).

At the age of 14, Truffaut was taking care of himself, at different times doing jobs like a courier, store clerk, shopkeeper, clerk, welding in a factory. He lived with Lachenay. They managed to get a 16mm copy of Fritz Lang’s movie Metropolis from 1927 and set up a movie club called “Movie Drinkers”. Nobody came when the screening of Movie Addicts overlapped with that of another movie club. Truffaut went to meet with the other club manager and asked him to change the release date. Thus, he met André Bazin (Monaco, 2006: 21).

He had chosen to be a member of a large family of synophilia, where he could remain a daydreaming child. Delivered to the police by his father, Truffaut gets in trouble because he doesn’t want to enlist. He met the French critic Andre Bazin, who came to his rescue in his youth and supported him throughout his life. According to Truffaut, Bazin is one of the “father” figures in the large family of synophiles. Among these figures are his masters Robert Rossellini and Alfred Hitchcock, whom he wished to see him as a son. Bazin also made many contributions to Truffaut in the field of cinema. Thanks to Bazin, Truffaut learns to approach films analytically and gets caught up in the power of criticism texts and writing. Opportunities were given to write articles on films and to generate ideas (Eren, 2020).

“The directors who influenced Truffaut the most were Renoir, Rossellini and Hitchcock; He wrote a book called *Le Cinema Selon Hitchcock* in order to reintroduce Hitchcock as a director in critical eyes, especially in the eyes of American critics ” (Bergan, 2010: 12). “According to Truffaut, Hitchcock’s films are, according to many other directors, timeless and will be permanent because every film has been shot with great care and skill, and he is a school like other European directors (Fellini, Bergman, Bukel). The presence of the Hitchcock language in Truffaut cinema can constitute another definition of the art of cinema with a stylistic evolution. An understanding of cinema that is timeless and productive in every period and has no boundaries is an opinion that can be put forward with a description from the cinema of Truffaut and Hitchcock ” (Özer, 2018: 1-8). The director who directly influenced Truffaut’s development is Rosellini. Truffaut’s following statements prove this: “I wanted to make a movie before I met Rossellini, of course, but that seemed impossible. It was a dream. Rosellini made all this look easy. He had a strong ability to simplify. He told me it’s not difficult to write a script, you just need to look at the reality around you. He told Americans not to imitate - because until then my masters had been Americans - you shouldn’t rely too much on flashbacks, tricks that aim to increase influence... Instead, you should prefer clarity, simplicity, and so on. He says that Rosellini also contributed to Truffaut’s first feature film, *400 Blows*, shot in 1959: “The *400 Blows* owes Rosellini a lot. I shot it like a documentary, three years ago I couldn’t have done that. I used to think of American cinema. I didn’t even like the documentary form. Rosellini showed me that things should be close to life” (Bergan, 2010: 13).

“Truffaut cares at most two things in his life. The first is cinema and books, which are more important to him than life, and the second is love. His own emotional structure bears the traces of the difficult conditions of his childhood and youth” (Özer, 2018: 36). Truffaut said that there are “few movies he likes except movies about love one way or another. “In Truffaut’s world, love was unique to women, be it obsessive or exploratory” (Bergan, 2010: xix).

In 1953, his first cinema articles were published in *Cahiers du Cinéma*. In addition to *Cahiers du Cinéma* magazine, he also published criticisms in publications such as *Arts*, *Le Temps de Paris* and *La Parisienne* (Teksoy, 2005: 486). These magazines were the turning points of his career. He was the harsh critic of *Arts* and *Cahiers du Cinéma* who contributed to spearhead the attack on the film industry rooted in the 1950s; He tried to show people not only what the mistakes were in his films, but also that he would do better (Bergan, 2010: 26). Truffaut, who started out as a film critic and historian of cinema in *Cahiers du Cinéma* magazine, inspired a



generation with an article published in 1954 (URL 2). In his article titled “A Certain Tendency in French Cinema” (*Une Certaine Tendance du Cinéma Français*), which is a manifesto, he hits the “tradition of quality” that transforms French literature into well-equipped and stylistically formulated films. He describes the tradition of quality as the cinema of old-fashioned, academic, screenwriters. More vividly, it praises the American popular cinema of Nicolas Ray, Robert Aldrich and Orson Welles. Truffaut, who develops his new understanding of film, says that the style that instills the personality of the director into the film must resemble the person who made it ” (Stam, 2014: 94-95). He defined the director who did this as an “auteur” (author-creator).

François Truffaut has variously discussed the “auteur theory” (*la politique des auteurs*), which emphasizes that cinema is the art of the director and that its directors are the real owners of films such as writers and painters (Eren, 2020). The auteur created a distinction by bringing “*metteur en scène*” to the director. The Auteur director conveys his own feelings and thoughts to the film and reflects his personality to the film with the “*mise en scène*” he realized. “*Mettur en scène*”, on the other hand, does not reflect his personality to the film, but only his mastery and talent. In addition, this director visualizes what others have designed (Coşkun, 2017: 207). In short, the “auteur” director creates his own style by bringing his creativity to the forefront in the film and goes beyond the stereotyped techniques and realizes the shooting. The director of “*Metteur en scène*” only fulfills the task of shooting. Uses classical cinema techniques while visualizing the script written. This idea has been accepted by other directors of *Cahiers du Cinéma* and has become an important understanding of the history of cinema. Truffaut, Jean-Luc Godard, Eric Rohmer, Claude Chabrol and other critics of the magazine played an effective role in the emergence of the New Wave movement.

Throughout his life, Truffaut worked as a critic, scriptwriter and director in his film career, not only behind the scenes but also showing his talents by acting occasionally. He managed to become the heart of the New Wave and became the father of “auteur theory”. When he visited his friends in 1893, he had a stroke. I was diagnosed with a brain tumor. In 1984, the day he was invited to the premiere of his close friend Miloš Forman’s movie *Amadeus*, his illness worsened and he was hospitalized. He passed away on November 21, 1984. He was working on the movie “*The Little Thief*” before he passed away. Truffaut’s testament was later transferred to the big screen by Claude Miller.

The director’s films, awards, the directors he was influenced by, in short, all the points about his cinema will be mentioned under the title “Filmography”.

### **3.2.Filmography**

#### *Directed Movies:*

- 1 - Medium Length (Les Mistons) (1958)
  - 2 - A Water Story (Une histoire d'eau) (1959)
  - 3 - 400 Blows (Les quatre cents coups) (1959)
  - 4 - Shoot the Pianist (Tirez sur le pianiste) (1960)
  - 5 - The Unforgettable Lover (Jules et Jim) (1962)
  - 6 - Antoine and Colette (Antoine and Colette) (1962)
  - 7 - Soft Skin (La peau douce) (1964)
  - 8 - People of the Changing World (Fahrenheit 451) (1966)
  - 9 - Black Wedding Dress (La mariée était en noir) (1968)
  - 10 - The Stolen Smooches (Baisers volés) (1968)
  - 11 - I'm Not Afraid to Marry (La sirène du mississippi) (1969)
  - 12 - Marriage Nest (Domicile conjugal) (1970)
  - 13 - Wild Young (L'enfant sauvage) (1970)
  - 14 - Two English Girls (Les deux Anglaises et le continent) (1971)
  - 15 - Night in the Sun (La nuit américaine) (1973)
  - 16 - The Story of Adele H. (L'histoire d'Adèle H.) (1975)
  - 17 - The Man Who Loved Women (L'homme qui aimait les femmes) (1977)
  - 18 - Escaping Love (L'amour en fuite) (1979)
  - 19 - The Last Metro (Le dernier métro) (1980)
  - 20 - Woman in the Window (La femme d'à côté) (1981)
  - 21 - Happy Sunday (Vivement dimanche!) (1983)
- #### *Movies He Worked in The Script:*
- 1 - 400 Blows (Les quatre cents coups) (1959)
  - 2 - Tramp lovers (À bout de souffle) (1960)
  - 3 - Shoot the Pianist (Tirez sur le pianiste) (1960)
  - 3 - The Unstoppable Beloved (Jules et Jim) (1962)
  - 4 - Soft Skin (La peau douce) (1964)

- 5 - People of the Changing World (Fahrenheit 451) (1966)
- 6 - Black Wedding Dress (La mariée était en noir) (1968)
- 7 - The Stolen Smooches (Baisers volés) (1968)
- 8 - I'm Not Afraid to Marry (La sirène du mississippi) (1969)
- 9 - Marriage Nest (Domicile conjugal) (1970)
- 10 - Wild Young (L'enfant sauvage) (1970)
- 11 - The Man Who Loved Women (L'homme qui aimait les femmes) (1977)
- 12 - Escaping Love (L'amour en fuite) (1979)
- 13 - The Last Metro (Le dernier métro) (1980)
- 14 - Woman in the Window (La femme d'à côté) (1981)
- 15 - Happy Sunday (Vivement dimanche!) (1983)
- 16 - Little Thief (La petite voleuse) (1988)

*Films He Produced:*

- 1 - The Unforgettable Lover (Jules et Jim) (1962)
- 2 - The Stolen Smooches (Baisers volés) (1968)
- 3 - I'm Not Afraid to Marry (La sirène du mississippi) (1969)
- 4 - The Man Who Loved Women (L'homme qui aimait les femmes) (1977)
- 5 - Escaping Love (L'amour en fuite) (1979)
- 6 - Woman in the Window (La femme d'à côté) (1981)
- 7 - Happy Sunday (Vivement dimanche!) (1983)

**3.3.General Evaluation of His Films**

According to Monaco (2006), Truffaut's films can be divided into 4 groups;

- 1 - Antoine Doinel Series (Short Films, 400 Blows, Antoine and Collette, Stolen Smooches, Family Nest)
- 2 - Expression of Species (Shoot the Pianist, The Unforgettable Lover)
- 3 - Explosion of Species (Soft Skin, People of the Changing World, Black Wedding Dress, I'm Not Afraid of Getting Married)
- 4 - Sincere Politics (Wild Teen, Two British Girls, Young and Beautiful, Night in the Sun)

François Truffaut had earned a well-deserved reputation as an irreconcilable, hairy and sometimes gruff movie critic when he was twenty-six years old (Monaco, 2006: 20). Truffaut, who became interested in movies during the war years, saw “French” movies in the first films. He liked “Les Enfants du Paradis”, all the Carné and Prevert films, and the films of Clouzot, Renoir. Truffaut, who started watching American movies, finds it richer than French cinema. Before winning an award at the Cannes Film Festival, he made a short film with his friends and worked with Rosellini, whom he said was very impressed in the future. In 1958, he shot his first short film “Medium Length” (Les Mistons) (Makal, 1996: 112-113). Truffaut called this “my first real movie”. In 1959, with Jean-Luc Godard, he made his second short film, “A Water History” (Une Historie d’eau).

He shot his first feature film “400 Blows” (Les quatre cents coups), which has the characteristics of New Wave. This movie is the second feature film shot after Chabrol’s “Handsome Serge” in New Wave (Coşkun, 2017: 214). “The New Waver, who started his cinema life by writing criticisms like many directors, was invited to the Cannes Film Festival as a director with 400 Blows the following year after he was fired, after demanding the removal of flowers in front of the Cannes film festival for obstructing the view of the subtitles in the film” (Özer, 2018: 38- 39). Truffaut went to the Cannes Film Festival and received the “Best Director” award upon this invitation.

His second feature film “Shoot the Pianist” (Tirez sur le Pianiste) (1960) is an adaptation of a detective novel written by David Goodis. The film was not liked by the French audience because of its contradiction and incongruity, and its structure from comedy to tragedy (Coşkun, 2017: 217).

Truffaut’s most popular movie is Jules and Jim. This is because the movie brought Truffaut international fame. In the movie, the main characters try to turn themselves into fictional figures. The film revisits Hollywood and traditional French film traditions. He separates and repeats the two film traditions. While doing this, he realizes the entertaining potential of cinema with a new and correct perspective (Biryıldız, 2016: 109-111).

He made his first film, “People of the Changing World” (Fahrenheit 451), in 1966, outside the themes of love and friendship that he frequently uses. It is an adaptation of Ray Bradbury’s science fiction novel of the same name (Coşkun, 2017: 218). The movie takes place in an abstract environment. In the future, it takes place in an era dominated by electronics. It is about a society in which firefighters no longer put out fires. Firefighters are now the guardians of common welfare. He tracks down the intellectuals who keep the forbidden items with the instructions they receive from the

television, called the “family”. Those forbidden items are also books, the origin of unhappiness. Fahrenheit 451 is the degree to which the paper burns into flames (Bergan, 2010: 12). It may not be Truffaut’s first successful film, but it is important because it is his first color film.

Truffaut Fahrenheit made the movie “Black Wedding Dress” (*La Mariee etait en noir*) (1968), after 451, with a very aggressive character at the center of the story. This movie gave him the opportunity to apply what he learned from Hitchcock. To pay homage to Hitchcock, it was more important and more relevant to him to maintain the dialectic of the adaptation than to highlight tension and mystery. It turned out to be a complex and easily understandable film that was only more confusing because the plot was so simple and direct. Truffaut deliberately left the setting in this movie unclear. As G. Crisp points out, the visual side of the film is American while the audio side is French. Murder is committed in the image, but the sound generation does not care about it. When Truffaut failed to achieve the success he expected with this film, Antoine Doniol returns to his series and shot “The Stolen Smooches” in February and March 1968. During this period, he was in an intense struggle to defend the Cinematheque and then to cancel the Cannes Film Festival that year. He entered active politics for the first time in his life (Monaco, 2006: 66-68).

The motto of the movie “Stolen Smooches” (*Baisés Voles*), which he started shooting in 1968, was this: If the Stolen Smooches is successful, it will be thanks to Langlois. But with the death of Langlois, the importance of the film became even sharper for Truffaut. The “Langlois Incident” brought him success in this Truffaut movie. The stolen Buseler is the “make your day” movie about that final phase of transition from youth to adulthood before responsibilities become inevitable. “Marriage Slot” (*Dominicile Conjugal*), which he shot in 1970, is a continuation of “Stolen Smooches” (Monaco, 2006: 32-34).

Another film bearing the traces of Truffaut is “I’m Not Afraid of Marriage” (*La Sirène du Mississipi*) (1969). “François Truffaut’s” I’m Not Afraid of Marrying “has an unimaginable romantic melodrama, but the film has a nice, complicated, undisclosed emotion, thoughts, from other films (as well as from two of their own father figures, Renoir and Hitchcock’s films). It rejects easy identification and the sheer triumphs over what was initially seen as structural schizophrenia. The creation of a high-quality director who works in an unusually classical tradition” (as cited in Canby, Monaco, 2006: 69).

He tries his own way of retrying in the movie “Wild Young” (*L’enfant sauvage*), which he shot in 1970. In 1962, Truffaut was first influenced by the stage adaptation of *The Miracle Worker* (Arthur Penn, 1962) and

worked on this film for eight years. Wild Young contradicts his movie “I’m Not Afraid to Marry.” It has a mythical origin and design that contrasts sharply with the stylized drama of genre films and even the collages of personal memories of Doinel films. Most of the movies in between, from the 400 Blows to the Wild Young movie, feature a child who acts as a reminder of this very personal theme. Truffaut said the Wild Young movie was related to some of the characters in his other films: “I realized that the Wild Boy was related to both 400 Blows and Fahrenheit 451. he was a man who missed books, culture. Victor of Aveyron was missing something more fundamental language” (Monaco, 2006: 57-78).

Among the films he made before his death in 1984; “Night in the Sun” (La nuit américaine) and “The Man Who Loved Women” (L’homme qui aimait les Femmes) (1976). Truffaut was unable to preserve the authenticity of the narrative that he captured in his early films. Moving away from the New Wave line, he started to adopt the narrative techniques of traditional cinema. He said that there are “only feelings” in his films. For this reason, he is criticized for not being as creative as Godard and taking refuge in book adaptations. After Truffaut passed away, he was described as a contemporary of Jean Renoir, whom he admired (Coşkun, 2017: 218).

**4- Understanding Truffaut in the 60th Anniversary of His Masterpiece: Analysis of “Les Quatre Cents Coups (400 Blows)”**

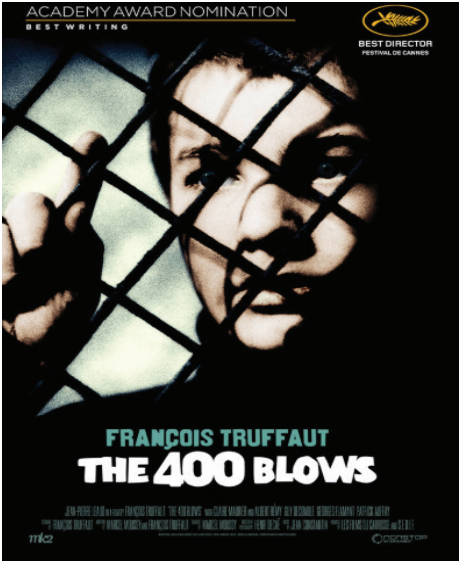


Figure 2: The 400 Blows Movie Poster

Film Production Year: 1959 / France

Duration: 1 Hour 35 Minutes

## Cast

- 1- Jean Pierre Léaud as Antoine Doinel
- 2- Calire Maurier as Mme Doinel
- 3- Albert Rémy as M. Doinel
- 4- Guy Decomble as Teacher
- 5- Patrick Auffay as René Bigey
- 6- Georges Flaman as M. Bigey
- 7- Yvonne Caludie as Mme Bigey
- 8- Claude Mansard as Judge

## Crew

Director: François Truffaut

Screenplay: François Truffaut and Marcel Moussy

Producer: Georges Charlotte

Director of Photography: Henri Decaë

Editing: Marie-Josèphe and Yoyotte

Music: Jean Constantin

### **4.1. Short Story of the Film**

400 Blows, which means “to break the school” in French, is about the life of Antoine Doinel, who lived with his mother and stepfather in Paris at the age of 12. The role of Antoine is played by Jean - Pierre Léaud, the indispensable actor of New Wave cinema and the lead role in Truffaut’s Doinel series and many films. Antoine hates his despot teacher. There is a strict teacher who continues his punishment by saying “Recess is a reward, not an obligation” even during recess. For this reason, Antoine Doinel is a mischievous kid who does not like school and often runs away from school. He is also an unhappy child who cannot sleep at night due to the quarrels of his mother and stepfather... After a bad day at school, he and his friend Réne decided to break school and go to the cinema and the amusement park and wander the streets of Paris. While walking on the street with his friend, he sees his mother kissing another man and, with the shock he experienced, he quickly gets away from there. When he went to school the next day, the excuse for not attending school yesterday is his mother’s death! But when her mother and stepfather come to school, all the facts come out. Antoine was slapped by his stepfather in front of all his friends. After his pride, Antoine decided to leave the house because he was afraid of his family, and spent the night in a printing house. His mother cannot understand why



her son hates herself so much, and goes to school and brings her son home. Shows intense interest. When the corner decorated with Balzac causes a fire, Antoine is subjected to psychological and physical violence by his stepfather. In the evening, they all go to the movies together. We see that Antoine is happy. But this happiness is temporary. The next day, he is sent to the discipline by his teacher at school with his friend Réne. But they run away from school without discipline. When these two friends dream of reaching the sea and living there, nothing develops as they imagine. Antoine, who steals a typewriter from his stepfather's office in search of money, is caught. He is taken to the police by his father and delivered. Here, Antoine faces harsh treatment. During the interrogation, the reasons underlying why Antoine was such a child are shown to the audience. Antoine falls into the correctional center cannot tolerate the harsh rules of this place and runs away. Finally he reaches the sea after a long escape.

#### 4.2. Analysis of the Film



*Figure 3: Opening sequence of the 400 Blows*

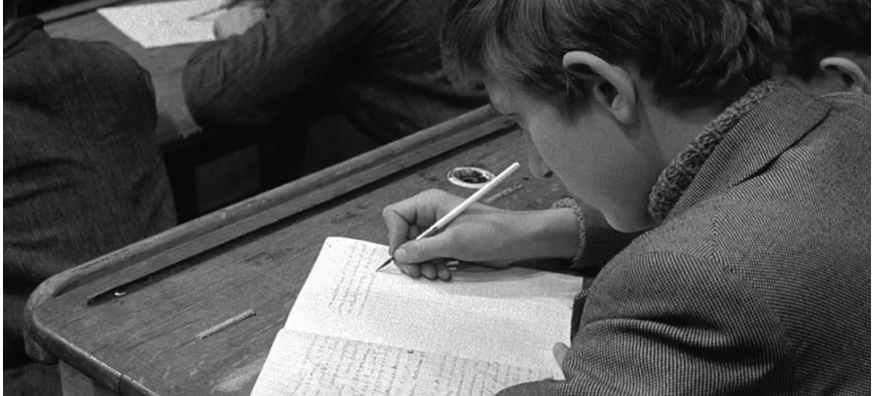
The movie starts with the appearance of a city. While walking around the city with the camera, it is shown that the Eiffel Tower entered the frame. We are in the streets of Paris, which has become the icon of the “New Wave”. As the camera continues to wander around the city, it gets closer to the Eiffel Tower. The frame continues to watch the Eiffel from the moment it starts to flee.



*Figure 4: “The film is dedicated to the memory of Andre Bazin”*



The screen fades to black. “The film is dedicated to the memory of Andre Bazin” is written in white. Bazin, which Truffaut put in the “father” category, passed away the day before he started filming “400 Blows”. Truffaut has dedicated his first film to his teacher, Andre Bazin. This is another of the aspects that make the special movie.



*Figure 5: Students during the exam*

The black screen softly opens to a class. During the exam, the students are handing a magazine to a fellow student and the magazine starts to travel from hand to hand. Finally, it passes into Antoine Doinel's hands. Guy Decomble sees the magazine in Doinel's hands and punishes him. While the students whose exam has finished go to rest, Doinel remains in the classroom because he is suspended. In this scene, when Doinel is in the classroom, we hear the voices of the students outside overwhelmingly. As the frame shows the children playing at recess, we hear Guy Decomble talking to someone. Alienation is used. The audience is aware that they are watching movies as they hear the ambient sound predominantly.





*Figure 6: Interrogation scene*

Truffaut has used the jump-cut technique several times in Antoine Doinel's interrogation scene. "The fact that the film contains a series of jumpy fiction is actually a reflection of the moral jump in the behaviors of the characters" (cited in Moullet. Çatalkaya, 2009: 59). The interrogating police does not appear in this scene. Doniel is almost like talking on the camera. Although it creates an alienating effect on the audience, it does not have a disturbing element..



*Figure 7: Mirror scenes*

The use of mirrors is one of the most aesthetic ways in case the angle of the camera restricts the actor's movements or the shooting area is

insufficient. The use of mirrors provides the convenience of shooting in a single plan instead of taking separate plans when two people are talking. Truffaut created creative plans in these scenes, using the mirror metaphor appropriately and strongly.



*Figure 8: While his mother and stepfather arguing*

Throughout the film, we see the world through Doinel's eyes. In this scene, only voices are heard while the mother and step-father are arguing. The camera captures Antoine's thoughtful and unhappy face. Truffaut offers the visualization of the emotion rather than speeches... He gives many messages with a single frame.



*Figure 9: Fun at the amusement park*

Another scene that highlights Truffaut's creativity is his scene in the amusement park. Here Truffaut created a realist effect by filming Antoine Doinel, who captured both the viewers and the viewers from the perspective of Antoine Doinel at the time he flipped.



*Figure 10: Watching movie and Puppet Show*

Doinel and his friend René go to the movies. Instead of the movie show, the camera focused on them. The audience’s expectation was not met, but this shot gave them the opportunity to experience what the children felt. Another scene is Little Red Riding Hood’s puppet show. After a brief performance at the beginning of the stage, the camera begins to capture the reaction of the children.



*Figure 11: Doniel in the Police Car*

In this scene, we see the childish side of Antoine Doinel, who often appears as a mischievous and adult identity throughout the film process. Doinel's captivity behind the fingers, who is on the run to freedom throughout the film process, is heartbreaking. We notice that Doinel's eyes, whose face is shown in close-up, fill up. We feel his loneliness.



*Figure 12: Escape from detention center*

Realizing the injustice, Doinel runs away from the detention center. In this scene, François Truffaut chose to take a long shot. It is a shooting technique that excites the audience. It is a long shot that lasts from his escape from the field during a football match to reaching the sea on the beach.



*Figure 13: Epilogue sequence*

In search of freedom throughout the film process, Doinel reaches the sea. The sea metaphor is a representation of eternity and freedom. As he is walking towards the sea, he suddenly turns to the camera that follows him and looks at the frame at this very moment, the frame is frozen. This final frame is another sign of Truffaut's pioneering, with "eyes looking at the lens", which was rarely used until then. Truffaut broke down the fourth wall, allowing the audience to approach critically by using the alternative narrative structure that makes the audience feel that they are watching a



movie. The movie, which has an open-ended ending, writes the ending of the movie with the thoughts of the audience.

This movie by François Truffaut is an important work because it has an autobiographical feature. Truffaut manages to enrich a simple subject by using its auteur aspect and creates an artistic masterpiece. Discusses a social structure over the child, who cannot keep up with the existing order, through institutions such as family, school, and detention centers that limit their freedom. An indifferent and loveless family atmosphere, teachers who put the punishment system directly into action in a strict and harsh education under all circumstances, the police who prevail... There are heavy criticisms of the current period and social degeneration in the film. Antoine Doinel tries to hold on to life with his own efforts. It tries to achieve freedom within the existentialist framework. Throughout the film process, the determination of the character in his quest for freedom continues. As in typical New Wave movies, the character is more prominent than the story.

Filming for Truffaut should be seen as an open-ended adventure in creative setting. Truffaut, who shot the point, succeeded in realizing the film concept he defined with “400 Blows”. Unusual use of the camera, transitions, freezing of the frame, jump-cuts have created an “alienating” effect on the open-ended end audience.

### **5- Searching for Traces of Truffaut in Turkish Cinema**

The “creative director” understanding put forward by Auteur theory in general and François Truffaut in particular and which created changes in the cinemas of many countries inevitably influenced Turkish cinema. In Turkish cinema, there are many names who are considered as “auteur directors” trying to create a different language by developing their own narrative style. Metin Erksan, Ömer Kavur, Yılmaz Güney, Nuri Bilge Ceylan, Zeki Demirkubuz, Çağan Irmak, Yeşim Ustaoglu, Derviş Zaim, Semih Kaplanoglu are among these names.

According to Odabaş; “Considering the Turkish directors who made films made with this approach, we should count directors like Sevmek Zaman and Metin Erksan, Gurbet Kuşları and Halit Refiğ. In the period called New Turkish Cinema, Ömer Kavur and Erden Kıral come to mind. In the next generation, new filmmakers such as Reha Erdem, Yeşim Ustaoglu, Semih Kaplanoglu, Derviş Zaim, Nuri Bilge Ceylan and Zeki Demirkubuz should be counted. As an auteur director, Atıf Yılmaz, Lütfi Ömer Akad, Metin Erksan, Yılmaz Güney, Halit Refiğ and Şerif Gören appear next to these names ”(Odabaş, 2020).

“The narrative structures created by these directors, who are generally

accepted as auteurs, and this period has been named with concepts such as “New Era Turkish Cinema”, “New Turkish Cinema”, “Director’s Cinema” or “Modern Turkish Cinema”. The mentioned directors and their films could not achieve enough box office success in the period when they were produced, but were able to create a new language of expression, could not meet with the Turkish people, but they were able to receive important awards abroad and they were able to create their own cinematic language by developing a new perspective, far from the traditional understanding of cinema” (Uğur, 2017: 234).

The first auteur director of Turkish cinema was Metin Erksan. He made films by establishing an original cinema language in the 1960s. Based on Truffaut’s writer-director principle, it is seen that many of the films he directed at Metin Erksan were also screenwriters. Examples of such films are *Time to Love*, *Beyond the Night* (his first social realist film), *The Well*, *The Master of Dokuz Dağın*, *Bir Suicide*, *Reeds*.

Another name, Yılmaz Güney, is walking the path of personal cinema in his films. While he was the scriptwriter and director of his movie like Truffaut, he also acted as the lead actor. While making easy choices in terms of the subject in his films, he has succeeded in creating a work of art with his signature by subjecting his handling of the subject. He made his name written in the history of Turkish cinema as an auteur director. Güney has shed light on many directors after him.

In the years when Ömer Kavur went to France for his cinema education, the New Wave movement and auteur understanding were newly formed. Making his films inevitably influenced by this understanding, Kavur has become a typical auteur director using an original language in his cinema.

In the auteur understanding, there is an opinion that a common event and theme in the films of the director brings the creative personality to the fore. In this context, it is seen that the common themes in Ömer Kavur’s films are generally shaped on “loneliness and the individual”. Based on a writer-director approach, “*Anayurt Oteli*”, which was written as an adaptation of Yusuf Atılgan’s novel and directed by it, is an art-focused film that uses the language of cinema in an original way. Similar to Truffaut, *Anayurt Oteli* was a turning point in the formation of the Ömer Kavur cinema narrative rather than commercial concerns.

Nuri Bilge Ceylan is also among the auteur directors who have a personal cinematic language in Turkish cinema. During his time in England, he learned cinema through films, not at school, by watching three films a day in cinematics just like the French New Wave filmmakers in Ceylan. His presence in the film process from the script to the end of the editing stage makes it possible for him to mark his films. It is seen that his

films are consistent in content and form. It can be said that he has put his personal signature on all of them, whether he tells a story from his personal life or creates a movie with the parts he quotes from the literary world (Yılmaz, 2018: 154). Like Truffaut, Ceylan has made films about his life. In the movie “Far”, which Ceylan points out as his most autobiographical film, Mahmut wrote his character inspired by his youth. In this context, even when he deals with a simple subject, it is observed that he transforms it into an art work with his signature. Nuri Bilge Ceylan, who takes care to make “art”-based films without commercial concerns, continues to progress without breaking his line.

Zeki Demirkubuz refused to identify the audience with the character by using the modern narrative structure created by the French New Wave cinema in his films. “The way the director deals with the subjects that establish the inner meaning in his films is the pattern he creates with the symbols he constantly uses and his cinematographic language. One of the common features of Demirkubuz’s films is that he gives religious names to his characters. Characters are generally alienated from society, have no value judgments, insensitive, prone to crime, helpless and helpless” (Uğur, 2017: 239). Demirkubuz’s adoption of personality in his understanding of cinema, his involvement in every stage of his films, his technical competence, repetitive themes in his films, his unique style and content are among the features that make him “auteur”.

There are certain elements that constitute the subjects of Derviş Zaim’s cinema. These are society, history, tradition, art, culture and nature-human relationship. He cares about conscience in his films focused on “human nature”. Zaim argues that the relationship of cinema with the audience is important, just like the New Wave filmmakers. He believes in the active audience and encourages the audience to think about what is happening in his films, using implicit language. He wants the audience to produce meaning with open-ended finals in his films. Like the New Wave directors, Zaim prefers natural light in terms of form in his films and uses lighting techniques to make his expression strong (Akçora, 2015: 132). In this context, Derviş Zaim has succeeded in becoming an auteur by building his own cinema.

## Conclusion

When we look at the cinema understanding of names such as Metin Erksan, Ömer Kavur, Yılmaz Güney, Nuri Bilge Ceylan, Zeki Demirkubuz and Derviş Zaim, who stand out as “auteur director” in Turkish Cinema, the auteur understanding that Truffaut laid the foundation for with the policy of creative directors and the effects of the French New Wave cinema have been seen. One of the most prominent features is that they can reflect



their personalities on the film. In addition, Kavur and Ceylan, just like Truffaut, made films about their own lives and emotions. In this context, in the movie “Babam ve Oğlum”, Çağan Irmak is mentioned as an auteur, although it has a different style. There are repeated motifs and thematic integrity in the films of the aforementioned directors. They also shot their movies in a modern narrative style. Since films with this narrative style are not entertainment tools, there is no commercial concern. Thus, although the film is no longer seen as a product to be consumed, it can be expressed as a process to be considered and entered into. Entertainment occurs as a result of a direct learning process and can be permanent since it is born out of the free will of the audience. The modern narrative structure challenges the conventional narrative methods that proceed in a linear fashion, trying to show the audience the manipulating effect of the cinema tool. Thus, he invites the audience to think by saving the illusion on the screen throughout the film process. The directors who left their mark on the production process in their films, established an original world, and tried to convey this world through their own cinematic narrative, have succeeded in becoming “unique” in the cinema of the country.

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# Chapter 7

**ORGANIZATIONAL COGNITIVE  
NEUROSCIENCE: A GATEWAY TO  
BEHAVIORS IN ORGANIZATIONS**

*Emine KARAKAPLAN ÖZER*



## 1. INTRODUCTION

Human brain was considered a mysterious area until a short time ago. This mystery started to be solved and understood with the advances in Cognitive Neuroscience (CN) field. The neural systems, connections, activities, functions and cognition processes can be studied with neuroimaging techniques. These developments provide important insights to scholars as they can ask many research questions that weren't asked before and develop hypotheses that couldn't be developed.

There have been many studies in CN in the last two decades. These studies focus on the information to understand the brain system and evolved mechanisms (Senior et al., 2011). As a complex system it has many difficulties to study the brain in a whole. Friston (1998: 796) simulates the difficulty of studying brain with the exploration of a forest. Being in a forest and telling how it works is so hard for the first glance. Many scientists study the forest with different techniques. Some study on the geography, others on flora and the fauna. Additionally, some parts of the forest are impossible to reach to study. It is impossible to talk with all the scientists about their studies, but it is possible to read their studies. It is same for the neuroscience. The neuronal dynamics, maps, rules and the principles of this complex system are tried to be clarified with the remarkable developments in this field.

The CN studies focus the underlying brain systems that help individuals to function in the world. The systems that have been explored for many years by the cognitive neuroscientists are the core for the theories in this field (Senior et al., 2011: 804). The last two decades witnessed great advances on CN. With the related advances, the understanding of the brain systems and the evolved mechanism were improved (Lee et al., 2012: 213). This improvement drew attention of many disciplines. Because understanding the brain systems can open many new windows for the researchers. Like some other disciplines organizational science is also interested in CN and consequently the studies combining the organizational science and the CN throw in a new discipline called Organizational Cognitive Neuroscience (OCN). OCN aims to put in a new perspective to organizational processes with the knowledge gained from the CN.

As there are many brains at workplace, research on neuroscience in organizations could be of potential benefit both for the researchers and the professionals working in organizations. However, OCN, which is a very new field of study, that can add many different perspectives and innovations to organizations with its multidisciplinary approach, is not fully clear on many issues.

The purpose of this review is to contribute to both the literature and

organizations by addressing the cognitive neuroscience, which can bring a very new perspective to many dimensions in organizations. From this point, in this paper firstly the CN and OCN are highlighted. The theoretical basis of CN and OCN are discussed. Then, the benefits of using CN discipline in organizations are discussed within the frame of literature. Lastly, the techniques used for the neuroimaging are briefly outlined.

## 2. ORGANIZATIONAL COGNITIVE NEUROSCIENCE

Becker et al. (2010: 1055) define organizational neuroscience (ON) as “a deliberate and judicious approach to spanning the divide between neuroscience and organizational science”. Lee et al. (2012: 923) define it as “a fundamentally neuroanatomical perspective in that it is concerned with the role that brain anatomy plays in the mediation of organizational decisions”. Researchers in the fields of leadership, strategic decision making, and intuition research or marketing suggest that a range of theoretical insights can be achieved by ON. Considering the management practices, leadership researchers highlight the presumed advantages of ON in the selection and development of effective leaders, and commercial interest (Lindebaum et al., 2014: 899). The thoughts, behaviors and the attitudes are observed and the neural processes behind them are focused on ON. Physical substrates in the brain and the connections are centered. The organizational behavior is studied by determining the specific substrates like “mirror neurons, implicit attitudes, and physical substrates”. ON pursued an anatomical perspective but the Social Cognitive Neuroscience (SCN) focuses not only the anatomical properties but also “the biological systems mediating the social cognition and behavior” (Lee et al., 2012: 924). Lieberman (2007: 260) divides SCN into four subsections. These subsections are understanding others, understanding oneself, controlling oneself and the processes occur at the interface of self and the others. The OCN uses the information mentioned above for the workplaces (Lee et al., 2012: 924).

Butler et al. (2007: 8) define OCN as “applying neuroscientific methods to analyze and understand human behavior within the applied setting of organizations”. These methods can be applied to individuals, groups, and organizations. The main goal is to understand the human behavior and consequently the social behavior at organizations. Senior et al. (2011: 805) define OCN as below:

The organizational cognitive neuroscience approach is not concerned with only the application of neuroscience methodologies to organizational research questions. Instead, the term ‘organizational cognitive neuroscience’ designates a genuinely multidisciplinary approach, in terms of both theory and method . . . organizational cognitive neuroscience is



not simply the study of brain systems themselves but may also incorporate the use of prior knowledge of brain systems to develop new hypotheses about organizationally relevant issues. Thus, it both provides a more inclusive scope and more clearly defines the key cross-disciplinary nature of organizational cognitive neuroscience, in that research in this area may contribute both to organizational and cognitive neuroscientific knowledge.

The potential relation among the human biology, organizational studies and the management takes attention for a long time. The human behavior and its effectiveness are explained with the mental processes and this is called as OCN (Butler et al., 2015: 542). Many significant phenomena in the organizations such as learning, development or leadership can be easily understood through the neuroscience (Lindebaum et al., 2014, s. 898). OCN aims to develop a deeper understanding towards the organizational issues by the CN approach (Butler et al., 2007: 2). It has a multidisciplinary perspective as it benefits from management and organizations, SCN and the evolutionary psychology (Butler et al., 2016: 543).

The real expectation of the growing interest on biology in management and organization is clarifying the mental processes that affect people's behavior and effectiveness (Butler et al., 2015: 542). Hannah et al. (2013: 406) call it as "cognitive revolution". They also suggest learning much about the "black box" to contribute this revolution. Otherwise learning about the mental processes that affect human behavior will be limited.

Organizational behavior has been importing some theories from the psychology for many years but generally these theories are limited, and the connections are insufficient. To expand the study field and reach more information, social cognitive psychology and the behavioral decision theory were studied in organizations. This "cognitive revolution" leads dramatic changes. For example, getting money awakens the same region in the brain with the seeing attractive faces, chocolate, morphine, sex, sports car and music. This information is essential for organizations because it is possible to motivate and activate the employees for high performance (Butler et al., 2007: 9-11). Also, individuals who are informed about their brain images develop more self-control than the others (Powell et al., 2012: 207). This can create some advantages for the workplace. The employee starts to learn more about her/himself and can make some changes. Organizations aim to control their employees for many years, and they have many methodologies for this goal. The brain technology is a new gate for the organizations to learn about emotions, attitudes and behaviors so the neuroscience can be substitute for the strategic organization (Powell et al., 2012: 207). The mental processes and the behaviors of humans and the effectiveness of organizations are focused with this new field. Learning about the mental processes allows learning about human relations by the neuroimaging

methods. This gained knowledge could be beneficial for deepening the understanding on individual, group, organizational, interorganizational and societal levels (Butler, 2017: 565).

### **3. THE BENEFITS OF COGNITIVE NEUROSCIENCE IN ORGANIZATIONS**

Comparing organizations with the biological organisms led to many advances in organizational theory. Considering organizations as artificial living systems provided a deep understanding on their openness to the environment. Their internal and the external environments change, and they must adopt, monitor and respond to these changes. Otherwise, the results can be disastrous for them. The organizations which want to be superior and competitively advantageous must adapt themselves to the changes. In consideration of the facts mentioned above human brain became an essential factor for the organizations both for the thoughts about the nature of the organizations and the performance put in (Gillingwater et al., 2009: 35). The key factor is to consider the change as a cognitive process rather than a program, project etc. The neurological processes and the connections have great impact on people's thoughts and behaviors. During the planning or managing the stages of the change considering this impact will be beneficial for the organization. Because using the neurological processes can strengthen or weaken the connections. (Luffman, 2019: 1).

The advanced knowledge gained from the neuroscience changes the insights and accordingly the management, leadership, advertising styles of organizations. This wealth of insights makes people to be objective towards the instincts during the change times in terms of improving planning, managing and embedding stages because knowledge gained from the neuroscience confirms you intuitively known as true (Luffman, 2019: 5). Becker et al. (2010: 1058) states that the individual resistance is the biggest obstacle for the organizational change so generally it fails. Even people supporting the change continue to subvert the change. This strange situation is caused from the attitude system, the behavior and attitude relationships. Attitudes are considered in three categories in neuroscience. They are implicit, explicit and expressed attitudes. The implicit attitudes are unconscious and automatic attitudes towards the stimuli. The explicit attitudes are conscious and slower attitudes. The expressed ones are the reports that people express. Different neural systems play role in the brain for the processes of these attitudes. Sometimes implicit attitudes can impede the change as they are the starting point of the explicit attitudes. To break the resistance to the change it is essential for the leaders to study how to change the implicit and explicit attitudes.

The complex structure of the brain is separated to the sub regions to

understand. Specific mental activities are linked with the specific regions in the brain and the neural networks. This approach is called as locations approach. This approach supports that some specific kinds of emotions are associated with the same locale of the brain. For example, amygdala is the central for the fear responses (Lindebaum et al., 2014: 901). Yeats et al. (2007) studied the change process in an organization in the framework of the CN and locations approach. They studied some concepts and processes of these concepts in the brain system during the change. In their study they focused on the role taking, empathy, forgiveness, love, and curiosity. They state that if related factors are taken into consideration CN can be used effectively in organizations during the change times.

fMRI studies reveal that participation of others' emotional states and feeling the same emotions cause a functional overlap in activated brain areas. "The anterior cingulate cortex and anterior insula are involved in the empathic state and should be the focus of investigations of this process in a business change intervention". Forgiveness is another key factor that should be considered during a change. The left superior frontal and posterior cingulate gyri become active for the forgiveness. Love provides a creative and encouraging atmosphere in an organization. "fMRI studies have shown bilateral activation in the anterior cingulate cortex and (primarily) on the left side of the middle insula, when participants describing themselves as "truly deeply and madly in love" viewed pictures of their loved partners. Lastly, curiosity is considered as a fuel for humankind to search answers, comprehend and investigate. It is the source of creativity many times. When curiosity occurs, the frontopolar cortex and the intraparietal sulcus are activated (Yeats et al., 2007: 115). Considering these factors in organizations helps leaders to understand the attitudes, emotions and behaviors better and they can offer them a healthier work environment.

Brain involves two decision systems. These systems are planning system and the habit system. The planning system provides the long-term goal directed behaviors and the planning capacity for the humankind. The prefrontal cortex has a great role in formulating the long-term goal directed behaviors for the planning system. Achieving the goals and forming can be impossible in terms of a damage in the prefrontal cortex. The habit-based decision system learns slowly and simpler. This system automatically matches the situations with the previous experiences and tends to stabilize the mind and the body to the homeostatic sets. It provides contentment even if the human is not happy. Otherwise, the individual feels negative emotions, pain and it creates unease. Knowledge on the planning and habit decision systems can be beneficial at the workplace (Becker et al., 2010: 1056).

Neuronal coherence is one of the important issues in CN and it supports

that the interconnectedness of the areas in the brain is measured by the coherence. Coherence provides the communication between the different areas of the brain. With the help of coherence multiple parts of the brain act jointly.

Coherence is represented with percentages. For example, 90% represents a high coherence between the two parts of the brain but the 10% represents a low coherence. High levels of coherence in the right hemisphere means a developed emotional balance, understanding one's own emotions and other people's emotions. It also suggests seeing the larger picture during the reasoning and making decisions. Individual values, beliefs and the thoughts are considered seriously. Regulating the emotions and creating an optimistic atmosphere make the employees more motivated and the commitment can be provided (Waldman et al., 2011: 62-63).

The Mirror Neuron System (MNS) is another striking topic in cognitive neuroscience, and it was first studied with the monkeys. It was observed that the mirror neurons in the premotor cortex were active during the observation of other monkeys. By this way, the monkeys behaved as if they were doing the action that they were observing. The MNS in humankind not only responds the visual observations but also the facial expressions, sounds and the motion. The brain reacts as if "the observer is the person being observed". This neuroscientific information is crucial as mirror neurons can answer many questions about the group works, organizational climates and the failures in organizational cultures. Employees learn adaptive behaviors from the other group members and if the leaders create an organizational climate those employees learn from the examples and follow them. The MNS reveals that the employees learn more from the strong group members than the high-level leaders (Becker et al., 2010: 1057).

Butler (2017: 564) states that the OCN deepens understanding at the decision making at organizations. The gained knowledge from this discipline deepens the theoretical understanding on management and organization. Additionally, people's behaviors and their effectiveness have connection with their mental processes. Especially the mental processes of decision making and identifying strategy as a practice have great importance for the organizations.

OCN enables researchers to study and clarify the organizational issues in a wider framework. New research questions can be asked, new hypotheses can be formed with the OCN approach. For example, it is believed that some leadership traits are hereditary. Knowing the genetic factors that affect the brain system and developing a hypothesis as "certain

functional polymorphisms affect the leadership performance” is possible. Also, as the studies on mice show that the brain itself also changes the way it works during learning the new skills can enable the researcher to develop converse hypotheses (Senior et al., 2011: 807).

OCN can also be used in human resource management departments. For example, the cortical responses during the brain imaging show that beauty is effective when making decisions for the recruitment. This info endangers the situation so using OCN for the recruitment processes give more details about the applicants. Directors can also learn applicants’ behavioral performance in addition to their physical appearance by the CN techniques (Senior et al., 2011: 808).

The motivation and the reward processes can also be carried out with the CN applications in organizations. Some brain areas such as the ventral striatum and nucleus accumbens, the amygdala, and the orbitofrontal cortex are getting active as a response to the rewards. To achieve the goals CN knowledge can be efficient as to make the employees to stay focused to the objective (Yeats et al., 2007: 119).

Ashkanasy et al. (2014: 913) focus on three benefits of application of neuroscience for organizations. The first one is the informing the management theory and predictions. The second one is the neurofeedback. Measuring the brain activity and using the results for the modification of the behavior is essential for the organizations. The third one is to develop the technology that informs about complex social interactions in the workplace. By this way individual and group work can be improved.

The OCN approach is essential for the organizations to comprehend the underlying and mysterious reasons of some behaviors of employees, customers or other partners by the knowledge gained from the biology and CN. Identifying the motivational drives of people in connection with the organization is possible with learning about the cortical responses of them. Using neuroimaging methods to identify the priorities of the staff in an organization is beneficial for it. As humans are not machines, they need to be happy to make happy. The way going to the goals pass from the intellectual power of the organization. Demotivated staff works like machines and only fills the time or in the best-case scenario, do their responsibility with minimum level they can manage. Motivated staff tries to do their best for the organization, so it is vital to find the motivational sources for the staff.

#### **4.NEUROSCIENCE TECHNIQUES USED IN ORGANIZATIONS**

The inner processes of human brain can be illuminated with the brain imaging and computational modelling advances in modern neuroscience.

These advances promoted many revolutions in many disciplines (Becker et al. 2010: 1056). These brain imaging techniques can reveal the detailed pictures of the brain processes (Lindebaum et al., 2014: 899). Some of the neuroscience techniques that are used for organizational studies are mentioned below:

#### ***4.1. Quantitative electroencephalogram (qEEG)***

qEEG assessment gets signals from the skull and the scalp by advanced processing techniques (Niedermeyer et al., 1995). This method is applied during the daily routines of people. They do not need to be immobile. They continue their conversations. To analyze the recording, two measurements are needed. The first one is the amplitude or the size of the electrical waves and the second one is the frequency or the number of the waves per second. Five bandwidths, from low arousal (sleeping) to the high arousal (extreme alertness) are taken into consideration while assessing the amplitude and the frequency. These five bandwidths are named as; delta, theta, alpha, beta, and gamma (from lowest to highest rhythms) (Waldman et al., 2011: 64).

#### ***4.2. Functional magnetic resonance imaging (fMRI)***

An indirect measure of neural activity in the brain via measures of changes in blood flow and blood oxygenation is provided by the fMRI (Butler et al. 2015). fMRI benefits from the magnetic features of the oxy- and the deoxyhemoglobin to create the brain activity images (Senior et al., 2011: 810). It is an “umbrella term” that includes various neuropsychological data collection. It is the most well-known neuroimaging technique but as mentioned above it is not a single technique (Butler et al., 2017).

#### ***4.3. Magnetoencephalography (MEG)***

The electrical features of the cortex are used in this technique. The magnetic fields in the brain caused by the electrical activity are measured by the MEG. The fast behavior and the behavior that can only be recorded at the workplace can be examined by the MEG as for its outstanding temporal resolution (Senior et al., 2011: 811).

#### ***4.4. Electrodermal activity (EDA)***

The electrical conductivity of sweat occurring during the thinking of emotionally based troubles and the cortical activity differs and the EDA measures this difference by the psychophysiological measuring of electrodermal activity. For OCN it provides an essential relevance as it is easy to use (Senior et al., 2011: 811).

#### ***4.5. Transcranial magnetic stimulation (TMS)***

TMS use the association of methods such as MEG, fMRI, or other cognitive methods. It is not a neuroimaging method. Cortical damages or

lesions caused after some accidents or other events enabled researchers to examine the parts which help to complete some tasks (Lee et al., 2007: 25). Researchers gain insight about the deep lesions in inaccessible places of the brain with “virtual lesions” for TMS (Senior et al., 2011: 812). By TMS researchers can block the activity in some areas in the cortex in a safe way. In case of a big task needed to be completed successfully the “virtual lesions” are performed to block the mass activation in a specific area of cortex that can prevent the completion of the related task (Senior et al., 2011: 812). TMS coil is positioned with the help of other neuroimaging methods. The application duration is short, and the applicant is conscious during the experiment (Lee et al., 2007: 28).

## 5. CONCLUSION

The brain systems have been researched by many scholars recently and CN discipline attracts people day by day. This “cognitive revolution” can lead many changes in organizations. It can be estimated to experience an “organizational cognitive revolution” which is possible to add various dimensions to organization theory for the next years.

Developments in the field of CN provide opportunities to broaden the range of information in many areas such as organizational behavior, leadership, strategic management, marketing etc. Butler (2017: 573) states that “OCN is a brave new world of research and practice opportunities”. OCN can open wide windows for organizations for many aspects from planning to performance evaluation.

Becker et al. (2010: 1055) suggest organizational researchers and academicians to make collaborations with the neuroscience scholars. The results of the neuroscience studies about the cognition, behaviors and attitudes occurred in the brain enhance the organizational behavior insights. However, Senior et al. (2011: 805) state that there has not been a synchronicity between the academics and the practitioners. Practitioners start to move faster than the academics and this creates some ethic problems for the basic and the applied science. For this reason, a deep engagement should be provided between the academics and the practitioners. (Butler 2017: 565).

OCN is a new field and there is so limited research in this field. It will be beneficial to contribute the field both with theoretical and applied studies. The collaborations among the neuroscience, organizational sciences and the psychology disciplines bring about beneficial results for all the disciplines



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# Chapter 8

**AN EXAMPLE OF DESIGN FOR WOONERF  
AND HOME ZONE STREET APPLICATIONS  
IN THE CONTEXT OF CONSERVING  
CULTURAL HERITAGE IN SAMSUN:  
HERITAGE STREET**

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## INTRODICTION

People want to live in cities that are more suitable for a more comfortable, peaceful, fun and colorful life than rural settlements in terms of education, health, culture and economy. For this reason, there is a movement from rural to urban, which creates a phenomenon of migration. Immigration for higher living standards is one of the factors that make cities more crowded and densely populated. However, this situation brings along some problems such as settlement, education, health and traffic, depending on the rapid population growth. Individuals who want to live in more peaceful and comfortable conditions are faced with the stress caused by the crowd, busy business life, settlement and traffic problems, especially in city centers. In addition to the physical inadequacy of streets and streets, the excess number of people and vehicles causes traffic problems, insufficient parking areas; Intense structuring causes a life away from the natural environment among the concrete piles. In addition, with the apartment building in urban settlements, people's relationship with nature is cut off. However, the house should be a whole with its surroundings (Duzenli, 2009, p. 208; Cansever, 1994, p. 273). The maintenance and security of the spaces between the buildings in such houses, the disconnection of people with their neighbors and their environment, the disconnection of children with the garden and nature, cause families to be condemned to live in these houses that emerged against their will, and to be removed from nature consciousness and responsibility (Cansever, 1994, p. .278). Again, the fact that apartment building develops vertically by cutting the relationship between house and garden in cities (Senturk, 2016, p. 37), causes family members to disconnect from the street, thus negatively affecting socialization, interaction and transfer to intangible cultural heritage elements. While this intense and stressful lifestyle created by urban life pushes the residents of the city to move away from each other, it also causes the abandonment of some cultural practices.

One of the important factors in the formation of urban culture is the common use areas, which are expressed as public spaces where the residents of the city spend time together. Public spaces, which are areas of mobility, socialization and identity in cities (Gokgur, 2008, p. 16; Bahceci, 2018, p. 116); squares and streets that contain the cultural, historical and architectural memories of the cities, and green and open spaces where education, art and cultural facilities are located (Keles, 2012, p. 11). In other words, public space; It is defined as all areas that mediate the social world, where democracy is legitimized and where the public encounters outside the home (Gokgur, 2017, p. 1). In these areas where people come together in the city, it is possible to find the mystery of the city life, the collective subconscious of the inhabitants and the symbolic codes of their

secret worlds. As they witness the history of the city, they also reflect the spirit, aesthetic understanding and consciousness map of the society (Aytac, 2007, p. 223). Because, urban spaces (cinemas, entertainment venues, restaurants, hotels, museums, galleries, parks, etc.) that reflect the social and cultural surface of the city in their spatial cartography are not only islands of cultural unity, but also constitute the defining signifiers, cultural identities or historical faces of the city (Aytac, 2013, p. 138). For this reason, these spaces are areas that have important functions in the city as a means of socialization of the city dwellers.

Public spaces where cultural interaction and social communication are made are also areas where tangible and intangible cultural heritage is transferred through socialization (Kocan, 2016, p. 117). The city also belongs to future generations. With this feature, the city needs to be expressed in a way that serves common purposes, beliefs, culture and behavior styles (Can & Dogan, 2015, p. 26). The aim of urban planning is to give a material expression to the abstract and spiritual reality that symbolizes sociality and cultural unity (Serjeant, 1997, p. 113).

Many urban design models are implemented in order to make cities more livable and people to live healthier, safer and happier lives. More livable city design models are being worked on for many different groups such as family-friendly cities, age-friendly cities, disabled-friendly cities, women-friendly cities, youth-friendly cities and child-friendly cities. These plans are urban design models in which socialization and cultural interaction are tried to be lived intensely and aiming to make streets and streets a more livable common use area. Especially the “Woonerf” and “Home Zone” space designs, which are defined as public urban spaces where streets and streets are designed and planned for children to spend time, and where pedestrians and vehicles are under equal conditions, draw attention (East Lothian Council, 2006). Speed limits are imposed on vehicles, especially in these applications where pedestrian safety is prioritized. In the streets and streets designed in this way, which are offered to pedestrians more effectively than vehicles, people can come together in a more comfortable and safe way, and children can find a safe play environment for themselves. So much so that in these street designs, an environment where people can find peace in safety such as sitting and resting areas, children’s playgrounds, bicycle paths and bicycle parking areas emerges. Thus, these areas become a common urban area where people come together rather than a traffic area for vehicles and an alternative playground for children (Joseph Rowntree Foundation, 2007; Velibeyoglu, 2000). In addition, a place where individuals feel safe makes communication with each other healthy. In cities, the existence of safe and suitable places for the family environment is important for the continuation of the family institution so

that families can have a good time with their children outside the home. Because the existence of safe places where family members can spend time together and the abundance of them allow the time to be spent together to prolong and to act together. For the existence of cities as well as the socialization of individuals, the existence of elements such as quality of life, socialization, movement, collective, cultural, political and social life is necessary. The behavior of the child is determined by the place and the physical environment in which he lives, rather than his personality and intelligence. For this reason, urban spaces such as the house, its immediate surroundings, school and children's playgrounds, where the child interacts, have great importance in becoming an individual belonging to the society and in his socialization (Tandogan, 2014, p. 19). For this reason, developed countries, especially the United States of America and European countries, are turning to family-friendly urban planning by introducing concepts that include urban planning such as family-friendly city and child-friendly city. For this purpose, it organizes various congresses and plans family-friendly city designs that meet the needs of families and children (Dogan, 2014, p. 426). However, it is predicted that approximately 70% of the world's population will live in urban areas by 2050 (Strategy and Budget Presidency, 2019: 177). According to the address-based population registration system in Turkey, 92.6% of the population lives in cities in 2020. Accordingly, it is estimated that there will be an increase in the difficulties in areas such as security risks, quality of life, health services, as well as facilities and services in urban areas. Therefore, good urban planning should be done to alleviate the urban ecosystem (Zabelskyte and Matijosaitiene, 2020, p. 275). It is also known that exercising on human health is significantly beneficial. Physical activities to be increased to 30 minutes a day have a positive effect on human health in relation to non-communicable diseases. The parks and trails designed close to the houses offer a variety of activities and supportive areas for all ages for healthy living. In addition to the physical, mental and social benefits they offer to the residents of the city, these open parks and tracks also offer benefits especially for children and young people (Kadi and Savvides, 2020, p. 209).

In this study, attention is drawn to street and avenue designs that allow children to play and socialize more safely and peacefully, strengthen the unity and solidarity of the public on the street, which is the first public space outside the home, and create a suitable environment for socialization. The aim of the study is to design an example of Woonerf and Home Zone street applications, which are widely seen in the USA and European countries, in the Atakum district of Samsun, where the processes of globalization and social change are experiencing serious threats such as deterioration and extinction related to intangible cultural heritage, and that such practices are

in line with Turkish culture and traditions. is to draw attention to the fact that it can be used for the protection of intangible cultural heritage elements. In this way, it is among the objectives of the study to increase the interest and perception of local governments in this direction, to increase similar street applications in urban planning and to be instrumental in the emergence of more livable cities. In addition, it is among the sub-objectives of the study to determine the name to be used in such street applications in Turkey as “Heritage Street” in response to the nomenclature used in applications in the world, and to bring a concept in this sense to the literature. Considering its purpose, the study is important in terms of transforming streets and avenues, which are important places in the context of keeping the cultural heritage alive, especially for traditional children’s games, into a more livable environment and its sustainability. Due to the dense population and construction of the Atakum district center, the fact that it includes planning and design for public urban spaces where the residents of the district can spend time comfortably and safely and socially interact, where children can play and the green areas needed, increases the importance of the study. Another aspect that makes the study important is that it allows the intangible cultural heritage elements emphasized by UNESCO to become space-oriented by removing them from being product-oriented. Because UNESCO supports new conservation approaches by drawing attention to the importance of space in the transmission of culture (Oguz, 2007, p. 32). In addition, Woonerf and Home Zone have a unique place in the field of geography because of the fact that street application and design researches are included in a small number of studies in terms of subject and scope and have not been chosen as a subject area, especially in geography studies.

## **1. CONCEPTUAL FRAMEWORK**

### **1.1. Sample Applications in Street Designs: “Woonerf” and “Home Zone” Street Applications**

Street culture has an active role in the development of the child and in the strengthening of social ties. Recognizing this effect, efforts are being made to redesign the streets in many countries, especially in Northern European countries, and to open them up for the use of children in a safe way. The new concept street designs, the foundations of which were laid in 1963, started to be implemented under different names in different countries, and the most well-known names of these street and street designs are “Woonerf” and “Home Zone”. Although they are named under different names, the general feature of these streets and streets is to reduce traffic, to develop playgrounds and places for children on the street, and to create resting and sitting spaces for city residents (Ergen,2000,p.34).





*Photo 1: A Sample Woonerf Design (URL 1)*

Although Woonerf was first introduced by British architect and road engineer Colin Burchanan in 1963, this understanding was first implemented in the Netherlands. The Dutchman Niek De Boer was inspired by this idea and designed a street that creates the impression of driving in a garden. This street was designed as a place forcing vehicles to go slowly, taking into account pedestrians and street residents, and its name was also named “Woonerf” by De Boer. First designed in Delft as a solution to excessive traffic congestion, Woonerf attracted the attention of the public and the Dutch government after its success, and the design standards were legalized by the government in 1976. Subsequently, many Woonerf street designs were made in Germany (1976), England (1977), Switzerland (1979), Denmark (1979), France (1981) and Japan (1981). In 1990, 3500 Woonerfs were built in the Netherlands and Germany, 300 in Japan and more than 600 in Israel (Hand, 2007, cited in Tandogan, 2014). The main philosophy of the Woonerf system is to integrate vehicle traffic and pedestrian flow. For this, the planning and design of street traffic is important. There are designated areas for car parking on the street. The maximum vehicle speed on the street is 15 km/h in the Netherlands and 20 km/h in Switzerland (Zomervrucht, 2005).



*Photo 2: A Street Before and After Woonerf in Medellin/Colombia (URL 2)*

According to Hand (2007), the Woonerf system has five components. These;

- A different entrance in terms of revealing the identity of the street and making you feel that you have entered a different place,
- Curves to reduce the speed of vehicles in the street,
- Benches to provide various activities and social coexistence of street residents,
- Boundary elements (street furniture, wood, flooring, etc.), playgrounds, plants, give the perception that drivers and pedestrians are equal
- Elimination of curbs and intermittent vehicle parking areas to reduce vehicle speed.

The Woonerf application is a street design arrangement that makes the drivers feel like a guest in this area and prioritizes the safety of pedestrians in traffic (Gill, 2007: p. 8). Pedestrians, who are the users of the street, are determined as primary users, while vehicles are seen as secondary users. The main purpose of Woonerf is to prevent pedestrians and especially children from being harmed in traffic and to reduce child deaths, which increase in traffic accidents. For this reason, the clauses “pedestrians can use the entire width of the highway within an area defined as Woonerf, it is also allowed to play on the highway” and “Drivers in Woonerf cannot drive faster than the pedestrian speed” were added to the traffic regulation issued by the Dutch Government in 1976 (Eran, 1995: p. 506). In this way, pedestrian safety was guaranteed by law and an attempt was made to prevent the increasing number of child deaths in traffic accidents. The way the streets are used has

been changed, improved and the quality of life has been tried to be increased by designing them not only for traffic but also for people.

Although the concept of Woonerf exhibits similar principles and design features and is used interchangeably, it also exhibits a space and perception feature that differs from country to country. In the Netherlands, Woonerf creates a sense of place in the city, while in England it focuses on reducing traffic and traffic accidents by making the main street quieter. In the USA, it is widely used in common areas where residential and commercial areas coexist and is called “common street”. Countries do not act according to a certain scheme when creating Woonerf designs. It is seen that countries have street designs that they put into practice according to their own needs, concepts and especially local cultures (Collarte, 2012: p. 4).



*Photo 3: Example of Woonerf in Maidstone/England (URL 3)*



*Photo 4: Examples of Woonerf in Amsterdam/Netherlands (URL 6)*



The “Home Zone” was launched in England by the Children’s Play Council (CPC) in order for children to have better play opportunities (Bristol City Council, 2003, p. 19). The most important factor in this application is the safety of pedestrians. For this reason, as in Woonerf, Home Zone imposes a speed limit on vehicles. Various elements to be designed on the street also enable vehicles to slow down. According to Joseph Rowntree (2007), Home Zone application has certain principles. First of all, the home zone is definitely not an area isolated from the urban space. It should be considered as safer routes to school. Vehicles are not very close to residential property. Arrangements reveal a holistic landscape arrangement. There is no separation of the road between vehicles and pedestrians. Entrances to the home zone spaces are clear and marked by various signs and signage. Drivers do not think they are superior in these areas. The dimensions inside the Home Zone are sufficient for emergencies. It contains sufficient parking spaces. If houses have front gardens, they are protected. These applications include various games and activities so as not to disturb the occupants and are designed accordingly (Tandogan, 2014, p. 26). The main objectives of home zone applications are; to reduce vehicle speed, improve environmental quality, increase play and other activities, reduce real/perceived crime, increase road safety and encourage community participation (Home Zone, 2005, p. 30). The street length of the home zone should be less than 600 m by Dutch standards and there should be less than 100 vehicles per hour on the street at most (Joseph Rowntree Foundation, 2007).



*Photo 5: Home Zones in Leeds and Doncaster (UK) (URL 7)*

The positive results of successful Woonerf and Home Zone applications in the world are listed as follows by the Institute of Highway and Incorporated Engineers (IHIE) (2002):

- It reduces or destroys the supremacy of vehicles on streets in residential areas.
- It promotes a sense of community.
- It supports the rich variety of activities by increasing the street use of the residents.
- It reduces social isolation, especially among older people.
- It creates active and creative play opportunities for children.
- It deters crime through natural surveillance.
- Significantly reduces traffic speed.
- It improves the security of the residential areas, and more importantly, the security perception of the residents.
- It makes it possible for all members of society, including children, the elderly and people with disabilities, to dispose of, tame their local environment from cars.
- It encourages people to walk and cycle for nearby places.
- It improves the quality of the built environment.
- It helps to increase the demands for a better quality of urban life.

As seen in the examples at the exit points, these streets, which were designed with the aim of enabling children to play safely in many developed countries, especially in the Netherlands, England and the USA, are designed according to the needs of the countries and their perspectives on children; It is understood that it was put into practice by taking into account the local cultural characteristics. In Turkey, on the other hand, streets designed with projects implemented with various names (such as living street, children's street, play street) are tried to be presented as playgrounds for children in big cities, especially in Istanbul and Ankara, by local governments. Because the streets, which are the most productive playgrounds for children (Abu-Ghazzeh, 1998), are the child's quaternary playgrounds after home, school and regular playgrounds (Matthews et al., 2000).

In addition, streets have culturally important functions as they are the first public spaces where people are found outside of the houses. Considering the importance of people's interaction with each other and cultural transfer, especially in the context of preserving and keeping the cultural heritage alive, it is better understood how important the street, which is the first public space to be together, is in cultural preservation. Streets are social spaces that directly affect social life, enable the socialization process, teach

life to children, and experience the people's relations with other people (Yılmazoz, 2010: p. 91). Streets, which provide the unity and solidarity of people who share the same environment, and prepare the environment for the strengthening of neighborly ties, which are the strongest ties after family ties, are a social bond (Ozkul and Aydın, 2019: p. 86). In order to better understand the socio-cultural relations of societies, tangible cultural assets, which express the cultural elements of the material works that they reveal concretely, such as the material, the way they were made and by whom they were made (Arioğlu, 2019, p. 92) and UNESCO (2003) are defined as "communities, groups and intangible cultural heritage defined as "practices, representations, expressions, knowledge, skills and related tools, materials and cultural spaces that individuals sometimes define as part of their cultural heritage"; In terms of application area, it first finds a place on the street. It is not possible to think of tangible cultural heritage and intangible cultural heritage independently from each other in this sense. Because it is not possible to consider tangible culture separately from the people who compose it and the practices around it, and intangible cultural heritage from the material contexts in which it finds a living space (Basat, 2010, p. 61). As a matter of fact, Karakul (2007, 151), in his study in which he associates traditional architecture and intangible cultural heritage, states that tangible cultural heritage and intangible cultural heritage should be understood together and that they should act together in a holistic way in the preservation processes.

Both the role of children's playgrounds in raising healthy generations and the need for applied conservation areas for the protection of cultural heritage are felt seriously today. Neighborhood values and relations begin to disappear in new neighborhood concepts that are formed as a result of vertical constructions that do not comply with Turkish home and space culture. The isolation of people who live unaware of each other and the emergence of an insecure environment (Ozkul and Aydın, 2019: p. 87) also cause cultural transfer to be interrupted. Due to the dense construction and traffic problems in the cities, the restriction of playgrounds for children and the gradual decrease in the application areas in the context of the protection of cultural heritage make it necessary to create application areas by making designs to solve this problem in the city centers.

## 2. METHOD

This research is a field study. The study was carried out in accordance with the case study model, one of the qualitative research methods. Case studies are research in which an entity is defined and customized according to space and time. The space being examined can be one or more than one. The works carried out in the space may also be one or more than one. Case studies are also defined as case studies (Buyukozturk et al.,

2012, p. 249). In this direction, in this study, first of all, the situation of the examples of Woonerf and Home Zone street applications in the world has been determined and their characteristics have been tried to be revealed. The conditions and features of the creation of these street applications were revealed by literature review and supported by various examples. Then, in Atakum district, where the model will be applied, the street on which the model design will be applied was determined in line with the selection criteria such as distance to school, household and workplace density, street length and width, traffic density, through field work, which is one of the geography research methods. Considering the characteristics and physical conditions of the determined street, street modeling was made on the existing zoning plans obtained from Atakum Municipality using the AutoCAD computer program with the modeling analysis technique and an exemplary street design was revealed. While designing the street, various application areas such as children's play, playgrounds and camellias, water dispenser, theater stage, charity cabinet, book cabinet, pet care areas were included in the design in the context of the protection of cultural heritage, thus, in accordance with Turkish culture and tradition for the protection of cultural heritage. "Heritage Street Application Design" named by the researcher in a street concept was revealed.

In addition, in the study process, the interview method, one of the qualitative research methods, was used to reveal the attitudes of the residents determined for the design towards this street application and their perspectives on their involvement in a possible project. The interview method is a data collection technique that is frequently preferred in qualitative research and used to conduct in-depth research to reveal social reality (Yuksel, 2020, p. 547). In this respect, interviews were conducted with street residents and individuals from households, shopkeepers, school administrators, teachers, municipal officials and disadvantaged groups (women, children, young people, parents of disabled individuals, etc.). A semi-structured interview form prepared by the researcher was used as a data collection tool. The interview form consists of 2 parts. In the first part, there are questions that determine the demographic characteristics of the participants, and in the second part, there are questions to determine their attitudes and perspectives on the subject. It has been declared to the participants in the interview form that the confidentiality of personal data will be taken as a basis and the participation will be on a completely voluntary basis. In addition, consent was obtained from the parents to conduct interviews with underage children and disadvantaged individuals. Approval was obtained from the Ethics Committee of Samsun University regarding the interview form prepared before starting the research. 20 individuals participated in the interview (Figure 1). In line with the purpose

of the study, multiple-choice questions were recorded using the program, and open-ended questions were analyzed by examining them one by one.

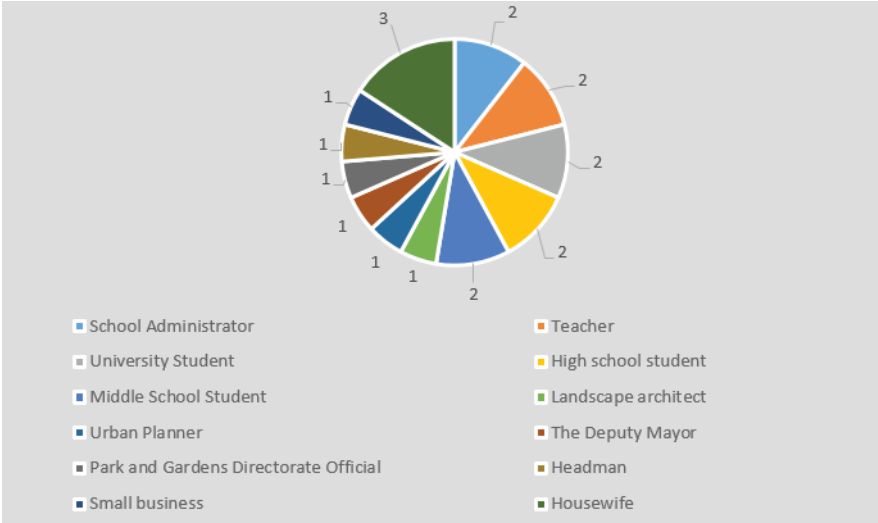


Figure 1: Professional Distribution of Interviewed Individuals

**3. RESULTS**

**3.1. Geographical Features and Urbanization Outlook of Atakum District**

Atakum district, which is located in the west of Samsun city center, is bounded by the Kurtun River in the east, 19 Mayıs district in the west and Kavak district in the south (Figure 2). With a coastline of approximately 14 km, there is the Black Sea to the north. The district is morphologically divided into 3 main units. The part between 0-100 m is the coastal plain, the part between 100-300 m is the erosional surface and the part between 300-1319 m is the mountainous area (Oner, 1990). While 36.7% of the district consists of flat and nearly flat areas, 63.3% of it forms mountainous areas. While the flat and nearly flat areas in the coastal plain are completely urbanized, settlements are high in some neighborhoods (Buyukoyumca, Alanlı, Kamalı) on the erosion surface (Guner, 2019).



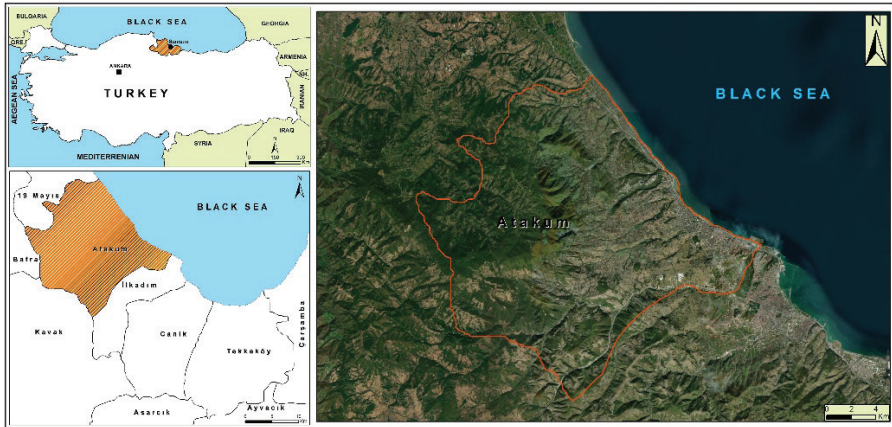


Figure 2: Geographical Location of Atakum District

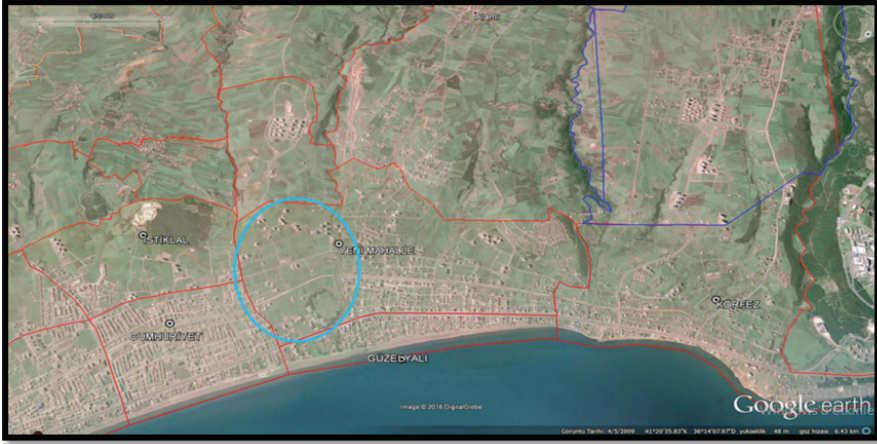
Atakum is the district where the highest change in population growth and urbanization has been experienced in Samsun. Atakum, known as Matosyon (Atakum Municipality, 2014) in 1994, gained the status of a town municipality on this date, and in 2008, it gained its present district boundaries by incorporating 5 neighboring towns (Atakent, Kurupelit, Altinkum, Catalcam and Taflan) and became a district municipality. The population of Atakum district, which was 97,066 in 2008, increased to 221,082 in 2020 and increased by 115% in 12 years. The neighborhoods with the highest population are Yenimahalle, Cumhuriyet, Mimar Sinan, Esenevler, Mevlana and Korfez Districts located on the coastal plain (Table 1). Among these neighborhoods, Yenimahalle, Cumhuriyet, Mimar Sinan Districts have a population of over 20 thousand, while Esenevler, Mevlana and Korfez Districts have a population of over 10 thousand. Yenimahalle is the neighborhood with the highest population with a population of 51,593.

Table 1: Neighborhoods with Population Over 10 Thousand in Atakum District (2020) (TUIK)

District	Population
Yenimahalle	51.593
Cumhuriyet	27.772
Mimar Sinan	24.062
Esenevler	19.997
Mevlana	15.925
Korfez	14.951

Atakum district, which is the district with the highest population growth in Samsun province, has also shown significant improvement in terms of urbanization and construction, and this construction process

still continues today (Figure 3, Figure 4). The favorable physical (wide coastal plains, long beach areas, clean air and houses with large gardens) and human (appropriate transportation opportunities and socio-cultural potential) geography factors of the district constitute the reason for this structuring and urbanization (Yilmaz, 2004, p. 60). . The rapid and high construction in the district is also revealed by satellite images of different years (Elevli and Sisman, 2016, p. 73).



*Figure 3: Satellite Image of Construction in Atakum District (2009) (Elevli and Sisman, 2016)*



*Figure 4: Satellite Image of Construction in Atakum District (2021)*

### **3.2. Street Selection Criteria, Sample Street Selection in Atakum District and Views of the Residents on Practice**

This street application, which is named with different names in different countries, will be called “Heritage Street” in this study. The

concept of heritage has been used because it provides a safe and high social environment for the residents of the city, especially children, and because it includes designs for keeping the cultural heritage alive. Considering its application and spread in Turkey, it was deemed appropriate to name it as “Heritage Street” in the sense of the public space where cultural heritage is kept alive. In the design of the sample street application in Atakum district, it will be named with this name given by the researcher. Although there are street design works in Turkey, which are tried to be realized in order to ensure that children can play safely and are named with concepts such as “play street”, “living street”, “living courtyard”, “children’s street” and “shared street”. ; The street design called “heritage street” differs from other street designs. Because the purpose of the street designs of the concepts mentioned is to design streets and avenues in a way that ensures the safety of children (in the form of open or closed areas to traffic) and only to offer different playgrounds (Artan et al., 2017: p. 88), while heritage street design is only for children. It aims to be designed in an inclusive way to include and interact with all members of the society, not as a field of study. It is one of the other street designs in terms of allowing tangible and intangible cultural heritage to find a place to live together, providing the opportunity to use this opportunity by various institutions and organizations, being a place for the realization of Turkish street culture elements, as well as providing playgrounds for children according to different ages and characteristics. reveals its difference. Incorporating tangible and intangible cultural heritage elements in its design, it appeals to all segments of the society and offers a living space, an exemplary practice space in the context of protecting and keeping alive the cultural heritage.

In a research that will shed light on the study, according to the data obtained by the network analysis method, which is the application of Geographic Information Systems in 2016; Although the use of urban green space in Atakum district responds to pedestrian accessibility in dense residential areas, it has been revealed that green space and road arrangements that will serve at the neighborhood and district level should be passed (Oner et al., 2016). According to this finding, in Atakum district center, especially in the neighborhoods where the population and construction are dense; There is a need for reassuring and multi-functional urban spaces that can appeal to neighborhoods and districts, where residents can spend time comfortably and safely during the day, which can be a social interaction and socialization area, and especially in the context of children’s commute to school or street games.

Before the Heritage Street designs are made, the choice of street or street is important. Because the purpose of these applications is to open a living space for the residents of the neighborhood, especially children,

by reducing the density caused by traffic. For this reason, choosing the streets where the workplaces are not dense and where there are more residential areas will be a choice that will facilitate the implementation of the application. In this way, the traffic flow, which is not very busy, will be further reduced and the success rate in the application will increase. Choosing one of the streets around the school is also considered as an appropriate choice in the selection of the application area. Because children going to school will have a safer way to go when they use these streets as routes. Again, children's use of the bicycle paths on these streets while going to school will increase the use of bicycles and therefore may cause a decrease in service usage.

The length and width of the streets to be selected should also be such as to allow the implementation of the application. The average length of 61 streets for street applications selected within the project implemented in England is 670 m. In applications designed in the Netherlands, it is specified as minimum 400 m and maximum 600 m. Divided designs can be applied on longer streets. On average, a street with 300 households is considered ideal for selection and it is also possible to divide and reduce the scope of streets or avenues with more households (Home Zones, 2005, p. 11).

As a result of these explanations, in line with the field studies carried out in Atakum district, 37th Street in Cumhuriyet District, Heritage Street has been determined as an exemplary design application area. The exemplary street is located in Cumhuriyet Mahallesi, which was established on the coastal plains of Atakum. The Cumhuriyet Mahallesi, which is on the side of Atatürk Boulevard on the Samsun-Sinop Highway, which continues parallel to the Black Sea, is 4 m above sea level. It has a relatively regular layout with its avenues and streets parallel and perpendicular to the Black Sea. With a population of 28,285 people, it is the second most populated neighborhood of the district. The neighborhood, which has a dense settlement pattern, appears as a preferred region in the district.

The 37th Street chosen for the exemplary design application extends in an east-west direction parallel to the Black Sea. Although the total length of the street is approximately 1.3 km, the preferred area for the application includes 600 m, which is relatively less dense in terms of workplaces. The eastern entrance of the application area is 50 m. from Fahrettin Ulusoy Primary School and Recep Tanrıverdi Secondary School, which are located opposite each other. It is a large junction area in the north. The western entrance is the Recep Tayyip Erdoğan Boulevard, approximately 600 m away. Tevfik İleri İmam Hatip Secondary School is located on the opposite side of Recep Tayyip Erdoğan Boulevard. The presence of two secondary schools and a primary school at both ends of the street is one of the most important factors

in choosing the street for design. Because in the philosophy of these street practices, it is aimed to ensure that the students go to their schools safely and in peace. In this respect, considering the capacity of the schools and the housing density around them, this choice is considered to be an appropriate one. In addition, when the distribution of residences and workplaces on the street is examined, the density of the housing ratio and the low ratio of the workplace draws attention. Considering the low density of workplaces on the streets, which should be preferred in these street applications, it is seen that the choice is an appropriate choice. As a matter of fact, there are 24 workplaces and 33 buildings on the selected street. Most of the workplaces are located in the northern part of the street. From this point of view, it is considered as an important advantage that workplaces are unilateral. There are a total of 360 apartments in 33 buildings, which means that many households. When 24 workplaces and 360 households are compared, the low density of workplaces and the calmness of the street in this respect draw attention. The width of the street is also an important factor in the design. Because add-ons such as camellias, playgrounds, green areas, recreation areas to be placed in the street will be more useful and effective in a wide street. The width of the street (12 m at its widest and 8 m at its narrowest) is considered suitable for the placement of these extensions. Some buildings along the street have a parking lot on the inside of the pavement. These areas reduce the frequency and density of car parking areas on the street. In this case, the space requirement for car parking is reduced. This situation reveals the possibility of having a wider area for street design and application. The presence of the Youth and Science Center, which is under construction by the Atakum Municipality, on the street is important in terms of ensuring the convenience and safety of students and young people's access to this center through the street, just as it is in transportation to school. There are 3 parking areas on the street, one of which is a playground. Considering the use of these parks and the transportation of the residents and especially the children to the parks, it becomes clear once again that the chosen street is the right choice in terms of security and peace. All these features of 37th street show that it is in a very convenient location in terms of street application design.

Finally, in the selection process, interviews were held with representatives of different ages, professions and groups in order to reveal the perception and interest of street residents towards this practice. The participation of the public in such practices is extremely important for the success and sustainability of the practices. Adoption and ownership of the project by the public is seen as an important criterion in terms of helping to eliminate many problems that may arise during the implementation process and for the smooth progress of the project.

A total of 20 people were interviewed during the study. Among the



interviewees, housewives, children, youth, shopkeepers, parents of the disabled, headman, teachers, school administrators, relevant persons working in the municipality (The deputy mayor, park and gardens directorate officer, landscaping architect, urban planner etc.). In particular, representatives from all walks of life were interviewed and the attitudes and opinions of the people were tried to be taken from every angle. Accordingly, all of the interviewees, except the tradesmen, stated that they wanted their streets to be designed with such an application. Again, it is stated by all the interviewees that street residents should also participate in such projects. Only 2 interviewees stated that they did not think about taking part in such a project voluntarily, and all other interviewees stated that they would voluntarily take part in this project. All the participants, who stated that they could send their children to play safely in such a street, also stated that they want to spend time on this street, that they want to own a house on this street, and that such streets should increase in number. The tradesmen interviewed, on the other hand, state that they are afraid that they may experience commercial losses and that there may be problems during the loading of goods and materials. One participant, on the other hand, expresses that he finds such practices important and valuable in terms of keeping the cultural heritage alive, and states that the large number of them can cause some problems in transportation and trade areas in the city.

Table 2: Approaches of street residents to design practice

Quescion	Yes	No
Would you like your street to be designed with such a street design?	20	0
Do you think that street residents should also participate in such projects?	20	0
Would you like to take part in such a project as a street resident?	18	2
If there is such a street application, would you allow your child to play safely in this street?	20	0
If there is such a street application, would you like to spend time on this street yourself?	20	0
Would you like to own a house located on such a street?	20	0
Would you like to implement such designs and practices for the protection of cultural heritage in other public open spaces?	20	0

In the open-ended questions asked to receive the opinions and suggestions of the public, they stated what kind of applications they would like to have on their streets in the design street application. The applications and add-ons they want to have are listed as follows:

- Must have security cameras
- Traditional game lines should be drawn on pavements
- Natural appearance should be protected, environment friendly
- There should be reading corners
- There should be sports fields, there should be a fairy tale house
- Must have sitting areas
- There should be ramps for disabled children and their caregivers and playgrounds that will attract the attention of these children.
- There should be mass family gatherings, activities and social events
- Must be suitable for vehicle use such as bicycle, skateboard, scooter
- There should be game materials according to age groups
- There should be book boxes and lockers for the needy
- There should be different activities and playgrounds that will increase the imagination
- There should be more green areas
- There should be elements such as fountains and public fountains that reflect Turkish culture.
- Theater and drama area (scene) must be

An exemplary application area has been designed in line with the literature study, case studies in the world, selection criteria and general opinions and suggestions of the people, and the name “Heritage Street” has been presented to the literature.

### **3.3. Exemplary “Heritage Street” Design with Cultural Heritage and Playgrounds**

The street is a place that invites people of all age groups to different activities and creates a safe and peaceful environment for them (Gokmen and Tasci, 2010, p. 72). It is the first public space when people go out of the house, where they communicate with each other, share their happiness and pain, and socialize. Streets also have an important mission as a cultural transfer area where the residents lived together and transferred their cultural togetherness to future generations, especially in the past when vehicles were not so widespread. However, especially the increase in the number of vehicles has taken the streets away from this mission and almost turned the streets into car parks. The streets are no longer dominated by people and are dominated by vehicles. Cultural conflicts begin to emerge as the urbanization intensifies with the increasing population and the crowded

cities invite people from different cultures to the city. In addition to increasing crime rates, people are moving away from street life and living in closed environments due to traffic density, noise and visual pollution. People who are alienated from each other are undergoing a cultural change. The understanding of folk culture, on which unity and solidarity formed the basis, disappeared, and a cultural understanding in which individualization and isolation from society was at the forefront began to dominate in human life. This situation negatively affects street life and culture. In order for the streets to be perceived as a safe and livable public space and an important cultural heritage transfer place, as in the past, street designs and practices, which include different cultural activities, are considered as an important urban planning in the context of keeping the folk culture alive and transferring. It is not difficult to create a livable interaction space with the landscape to be designed on the streets. The use of elements and practices of folk culture in street designs, especially at the point of protection and transfer of cultural heritage, will transform the streets into a more reliable and livable environment.

In Miras Street (37th Street), which was chosen as the exemplary design area, many areas and add-ons such as water dispenser, camellia, theater stage, front gardens, book and furniture cabinets, modern and traditional playgrounds belonging to folk culture and elements were used. First of all, the entrances of the Miras street in both directions were determined with signboards and road entrance arches in order to understand that a different street was entered. At the entrances, the speed limits of the vehicles were indicated and it was tried to make them feel like they entered a safe traffic route. Then, since the street is a common usage area for pedestrians and vehicles, the separation between the road and the pavement was removed and the pavement was canceled, and pedestrian, vehicle and parking areas were determined with the coloring method. By determining the areas of pedestrians, vehicles and parking lots with different colors, it has been tried to create the perception that this road primarily belongs to pedestrians and that vehicles are guests on this street. Security cameras have been placed at various points, especially at the entrances and exits of the street and the playground, and it is planned to take precautions against unusual events that may occur on the street.

One of the most basic needs for the development of the child is play and playground. The place where this need is met is the street, the first area outside the home that children need to play games with their peers and communicate with their elders. For this reason, children's playgrounds were primarily included in the street design. Playgrounds are placed on the street at regular intervals for both traditional children's games and modern children's games. Traditional children's playgrounds, which include



children's playgrounds with and without tools, and striped playgrounds drawn on the ground, which are taught and applied from generation to generation, are also considered important in the context of keeping the cultural heritage alive. In order for these games to be played comfortably, seats, soil area and plant placement have been added to the playgrounds. For example, by creating areas for games played with balls and pieces or pieces of wood, lines were drawn and traditional playgrounds were revealed. Areas between the seats were designed for games such as Bom, Bestas and Dokuztas. Empty areas of sufficient width have been left for games such as jumping rope, between legs, corner snatching, steel club, dodgeball, and it has been tried to allow children to move freely in the playgrounds. A football goal and a basketball hoop were placed on a suitable wide area of the street, and the sports playgrounds were designed to be a single goal. In addition to this, it is important that the areas including modern children's playgrounds are included in the design, in terms of meeting the needs and expectations of the children and choosing the street. Because Unal (2009, p. 102) children's playgrounds; It diversifies traditional playgrounds, contemporary (sculptural) playgrounds, adventure playgrounds, creative playgrounds and special playing and learning areas. Such playgrounds, which provide cognitive and physical development, were designed inside the existing playground located on the street. In addition, considering that open spaces are places for children to communicate directly with nature, this should not be ignored in the design of playgrounds. Playing areas, which are diversified as natural playgrounds and structured playgrounds (Erdem, 2017), should be combined in the design to create an important playground design for the child's physical and cognitive development. For this reason, it is thought that shaping the activities to be done in the playgrounds according to both types of games will contribute to the sensory and cognitive development of children. In addition, the material to be used in the construction of these playgrounds, especially from wood, will be beneficial in terms of both safety and health.

It is also important to design areas such as the camellia, which has an important place in ensuring social interaction and cultural transfer on the street and is a gathering area for both children and adults. Because, designing the places where various handicraft activities are carried out on the street, which is an important feature of folk culture and enables people to socialize by increasing their sense of unity and solidarity, is considered as an act of keeping the cultural heritage alive. For this reason, such sitting and interaction areas are designed at regular intervals on the street. These areas, which can be used as activity areas by Public Education Centers and various non-governmental organizations, are also important in terms of realizing the evening street gatherings by the residents of the

neighborhood, especially in hot weather. In addition, water dispensers and fountains have been placed at certain points in the park areas on the street, and the fountain culture, which is one of the important indicators of our tangible cultural heritage and has an important place in the traditional urban texture of street life, has been tried to be kept alive in practice. Again, a platform with a small stage and audience seating area was designed within the playground area on the street. In this design, it is aimed for children to perform activities such as theater, drama, storytelling, music and entertainment. It is thought that the stage, which will also be a venue for activities such as traditional children's plays such as the Ortaoyunu, Hacivat Karagoz, and storytelling, will be an effective application area in the context of keeping the intangible cultural heritage alive. Such activities can be easily organized and implemented by the schools located around the street. In addition, it seems possible to implement it with activities to be organized by local government and non-governmental organizations. In addition, a book cabinet was placed on the walking route, creating an environment for children to borrow and lend books. Again, in order to gain the feelings of cooperation and solidarity, a storage cabinet was designed by the roadside for the use of those in need.

In order to minimize the car parking lots on the street and not reduce the activity areas, the car parks are placed at certain intervals and in a certain number. In addition, the areas in front of the apartments inside the pavement in the current state of the street are also reserved for vehicles and their density on the street has been tried to be reduced in this way. In order to ensure that the speed of the vehicles on the street is at most 20 km, street add-ons have been created in the form of various speed-reducing measures. In this direction, benches and seedlings and flower beds were placed at certain intervals, giving the street a winding look. These curves are an important deceleration in terms of controlling the vehicle speed.

Areas are also designed for pets to play and stroll on the street. The number of pet owners is increasing day by day. Therefore, people who have pets should take their animals outside to meet their needs and bring their animals together with the natural environment. The design of the heritage street to have areas for pets is considered a positive perception in terms of increasing the interest and perception of the street residents. It has been tried to keep the love of animals alive by placing huts, bird nests, food and water bowls for animals in street and park areas. In addition, walking paths and activity areas have been designed for different obstacles in order for disabled people to participate in street activities and use the street. Yellow guide lines are drawn for the visually impaired. Various activity areas are planned to be created for the mentally handicapped, immigrant families and their children, and the elderly in the street design and its extensions,

which is considered important in terms of social inclusion. Again, a bicycle path was designed and a means of transportation was created to increase the use of bicycles at the point of transportation to the schools located at both ends of the street.

Successive tensions in societies have led people to become desensitized in many ways, and natural wealth and cultural elements in terms of values have also taken their share from this depersonalization. However, in today's world, new awareness studies on education and social issues have begun to change the course of this event. It has led people to re-orientate towards aesthetics and the imagination of civilization, and at this point, it has activated the impulse to protect their own cultural values. For this reason, it is of great importance to include cultural elements in socio-cultural interaction areas as well as indoors. Considering the gathering of children, youth, adults and the elderly in children's playgrounds, it should not be forgotten that physical conditions in the environment can also provide important reinforcements for the enrichment of cultural transfer stories from generation to generation.

The nature experience and the elements of nature they come into contact with have a great impact on the development of children's value judgments and shaping their behaviors. In this sense, presenting the opportunities that will be offered to him in the socio-cultural common sharing areas by shaping the cultural and natural elements of the relevant region in a composition contributes to raising awareness of cultural and natural values in children. For this reason, within the scope of the study, while the landscape design of the children's playground is being made, care has been taken in the selection of the necessary units to be compatible with the Turkish Culture and in particular with the cultural values and natural flora of Samsun. It is especially important for children and young people to know the physical characteristics of the area they live in and to have the opportunity to grow the appropriate flora in their own streets in terms of integration with the place they live in. In this way, such association examples are important in terms of both getting to know the geography they live in and establishing the connection of the cultural values they create with that geography. Descriptive boards with the characteristics of the plants included in the landscape design as a cultural element and as a biological value with an ethnobotanical point of view will be included in the children's playground separately, and it will contribute to the permanent learning to be obtained from the area.

In the children's playground, which is a socio-cultural sharing area; The concepts of natural flora, ecosystem and biological wealth are integrated into the design and processed with cultural elements, and these elements are included in the design as part of a spatial setup. In this sense, all of the plant

samples in the landscape design consist of examples that are compatible with the plant biodiversity existing in the natural ecosystem conditions of the region's own geography. One of the important points in the selection of these specimens is the representation and meaning of the plant in the local culture rather than being biologically suitable for the environmental conditions. Considering its effect on the emergence of cultural diversity with the ethnobotanical approach, the interaction between plant existence and culture should be effective in the selection and placement of plants in the streets and playgrounds.

In order to enable children to do different activities such as running, playing and exploring among the trees, creating a shadow from the trees that have both cultural representation and ecological compatibility in the design, having a wide crown, being/not evergreen, edible fruiting/non-fruiting, robust It is considered appropriate to use trees that have some of the features such as trunk anatomy and morphology to create a meaningful composition. For this purpose, *Platanus orientalis* (sycamore), *Cupressus sempervirens* (cypress), *Buxus sempervirens* (boxwood), *Punica granatum* (pomegranate), *Fraxinus angustifolia* subsp. *oxycarpa* (anatolian ash), *Tilia rubra* (linden), *Castanea sativa* (chestnut), *Prunus x domestica* (plum) trees together with *Vitis sylvestris* (deliasma), *Lonicera etrusca* (ninedon), *Rosa* sp. (rose), *Jasminum* sp. (jasmine), *Fritillaria* sp. (Terslâle-bulb plant), *Muscari* sp. (Myth-bulb plant), *Iris* sp. (irises-bulb plant), *Dianthus* sp. (clove), *Primula* sp. (primrose) plants are included in landscape design.

In line with all these criteria, the following exemplary street application design was created, taking into account the cultural heritage and street use requirements (Figure 5, Figure 6, Figure 7).

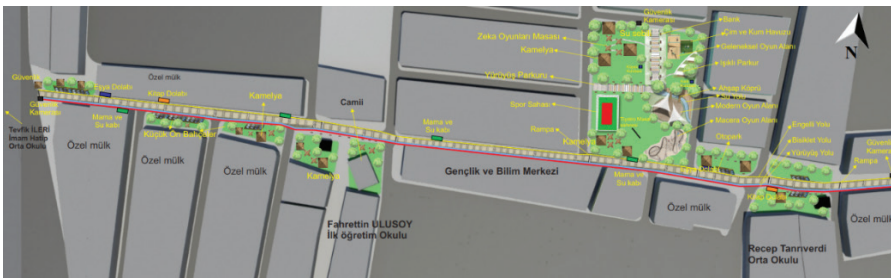


Figure 5: Projected Heritage Street Application



Figure 6: Eastern Half of Heritage Street

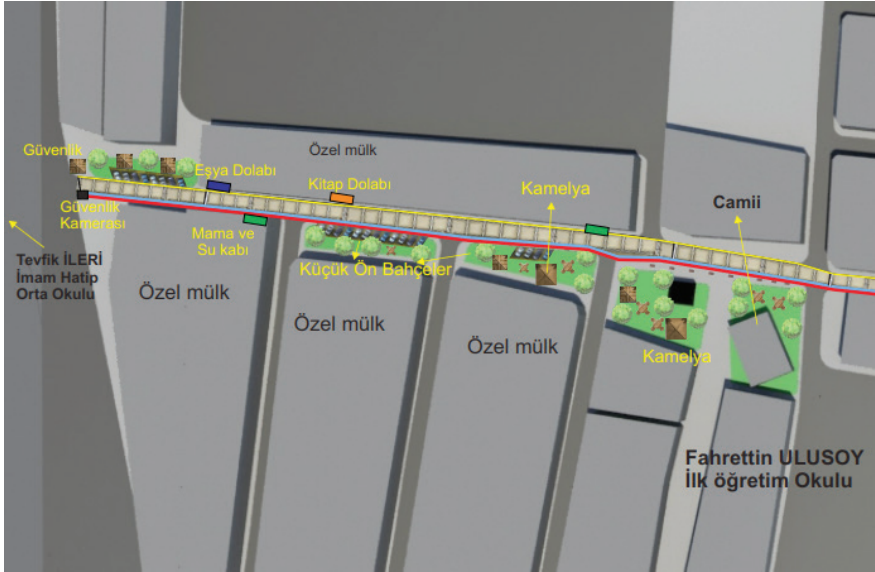


Figure 7: West Half of Heritage Street

## CONCLUSION

Considering that the protection and continuation of the family institution is provided by many variables, one of the variables that ensures a peaceful and quality life with a solid union is the places where family members are together. Within the scope of the relationship between the human being and the space, which geography is the subject of, the relationship of the family, which is undoubtedly the smallest institution formed by individuals and the most basic institution of society, with

space is important. In order for the family institution to continue and be strong, it should be given importance to the implementations in terms of administrative and social aspects, and necessary studies should be carried out to plan and design the public urban spaces that are the subject of our study for the family and the child.

Heritage street application is primarily about the physical replacement of the existing street with small interventions with a low budget. It is not a new street or avenue construction. In addition, it is a social engineering because the street is the first place outside the home in terms of socialization and socialization.

The most important condition for the success and sustainability of heritage street practices is to include local communities in the implementation of this practice and to adopt a community-based approach. Since it is the people who will use these practices, the people should own, protect and be included in the process. So much so that the inclusion of children, youth, disabled individuals, women, ethnic minorities and underrepresented groups, which can be considered as disadvantaged groups in terms of appealing to a wider audience, will be an important unifying factor in terms of social inclusion and will lead to successful results. Public meetings, book reading groups, cultural events where children can come together (iftar, exhibition, street theaters, open-air cinema, etc.), fun associations to be organized by local government, public and private education institutions, Public Education Centers and non-governmental organizations, Local people can be involved in this process through various activities such as game meetings, street cleaning events, street greening and maintenance works, publishing bulletins, and the use of local media.

Another important condition for realistic planning and a successful design is the availability of financial resources and good management of the process. Administrative and financial unity of the Metropolitan Municipality, local municipality, highways, city council and local people is important for the success of the project. The design and construction of the streets to be selected for the application requires a certain amount of time. It is thought that this process has the opportunity to be easily managed with the participation of the aforementioned institutions and the coordination of the local municipality. In this process, street design monitoring and inspection units should be established under the local municipality and the process should be managed within the planning, and control mechanisms should be implemented by the supervisory units. After the street design is realized, the sustainability of the street should be ensured by continuing its role as a supervisory mechanism.

The characteristics of the streets to be selected for Heritage Street



applications in the district, such as population, number of households, residential and workplace densities, walking and bicycle path connections with other streets, streets and parks, traffic flows and accident numbers should be revealed and street selections should be made according to these data. While determining the criteria to be considered in street selections, the design criteria in the world should be examined; In addition to this, street selection criteria should be established by taking into account the geographical characteristics and local culture of the district. E.g; The street is not sloping, it is shorter than 600 m, less than 100 vehicles pass through on the street on average, the street is close to schools and youth centers, the density of the houses on the street is higher than the number of workplaces (300 households on average), the width of the street is at least 12 meters The intersections on the street are wide enough not to hinder the maneuverability of emergency and service vehicles, parking lots must be at least 30 m from the intersection. Criteria such as starting from a distance should be put forward. The material and material selections to be used at the point of realizing the designs should be carefully determined. Affordability of materials, ease of construction, quality and durability of materials are important for the durability and sustainability of these street applications. In addition, the undergrounding of the above-ground cables in these streets will visually increase the attractiveness and safety of the street. In addition, the dynamics of the city should be taken into account when determining the streets where these designs will be made. Functions such as transportation, trade and market place should also be considered and plans should be made to minimize the problems that may arise.

Street designs are important for the usability and sustainability of streets. On the street where pedestrians, bicycles and vehicles will be in common use, vehicles should feel like guests and the perception of pedestrian and bicycle superiority should be clearly expressed. The entrance and exit of the street should be clearly defined by signage and gateways. Those who come from other places should feel that they are entering a different environment. Sidewalks and crossroads should be expressed with colors. Different floor colors give the users the feeling that they are in a more free and comfortable environment. One of the most important design details is the decelerators designed to reduce vehicle speed. Trees, street furniture, benches, camellias should be placed in such a way as to create natural bends and vehicle speeds should be reduced in this way. Care must be taken to ensure that the vehicle speed does not exceed 20 km/h.

Designing and revealing the heritage street application according to the Turkish culture and tradition is important in terms of revealing a street application that will belong to Turkey. For this reason, the use of Turkish motifs and patterns and social practices of Turkish culture in the design

of the street is considered as an important detail. Unlike its examples in Europe, Miras Street has playgrounds for traditional children's games, modern children's playgrounds, areas that allow artistic activities, camellias to meet, socialize and integrate the people, bicycle riding and parking areas, for the elderly and disabled. Areas for different activities and audiences such as sitting and walking areas and directions, street sports fields, playgrounds for street and pets should be designed. Studies and compilations on traditional children's games (Oguz and Ersoy, 2005; Basal, 2007; Ozservet Cakırer, 2015; Yildirim et al., 2020) that are within the scope of protection in UNESCO's convention on the protection of intangible cultural heritage should be examined and UNESCO's It should be ensured that children's games and areas included in the list of intangible cultural heritage of humanity are included in the design. Attention should be paid to the design of the children's playgrounds to be included in these designs in accordance with the developmental characteristics of the children and their age groups. Precautions should be taken so that emergency and urban service vehicles such as fire brigade, ambulance and garbage truck of all these designs can easily intervene on the street in case of emergency. For example, portable placement of the specified fields and add-ons will easily solve this problem. Street lighting should also be sufficient. But besides this, their dwellings should not have an annoying lighting system and design. Vehicle parking areas should not be dense and parking spaces should be designed intermittently.

When the Heritage Street design was implemented; In order to keep the general landscape texture alive, there should be both coniferous and broad-leaved trees and shrubs, both deciduous and evergreen. In addition, fruit trees and plants in herbaceous form should also be included in the design. The forms that are found in the natural flora of Samsun Province and have cultural value should be included in the trees, and contribute to the formation of the natural vegetation appearance.

The process should also be managed well against the problems and obstacles that may oppose the heritage street practices. The indifference of the public is one of the biggest problems. As a result of the interviews held in the field, it is understood that the residents of the street are interested in the implementation and will participate by supporting the project. However, assuming that there may still be individuals who may oppose it, the activities to be organized in order to increase the interest should be tried to be at a high level. In addition, the designs to be made with three-dimensional visuals should be presented to the public and the interest should be increased. Since the different identities and opinions of the participants will cause some disagreements, the mediation system should be operated in a solid way. Inclusion of the press in the process is considered as one



of the measures to be taken in order to prevent the opposition of the local press.

Heritage street practices are thought to have an impact on the environment, crime rates, community psychology, child development, healthy life and house prices. It is thought that these streets will show a positive change in terms of environmental and visual/noise pollution. It is also predicted that it will be effective in reducing the crime rates in the region, have a positive effect on child development due to the peaceful and safe use of the street by children, and improve health conditions as it will create sports, clean air and a stress-free environment. For this reason, increasing the number of these and similar street designs will increase the livable city perception in the district. The increase in the prices of residences and workplaces in the region and on the street is considered among the possible consequences, as their preference by the public will increase.

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# Chapter 9

## **WOMEN FOOTBALL IN TURKEY HISTORY-SITUATION-SUGGESTIONS**

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## Introduction

In the 19th and 20th centuries, sporting events were designed by men for men without taking into account the demands and experiences of women, and it is known that women had to come to grips with placing themselves within sports activities at this time (Kid, 2013). Due to their obligations, women in medieval England were supposed to cope with chores and worships. During the Victorian era, they were constrained in terms of how and at what level they may participate in any sporting activity. (Taşdelen and Koca, 2015). Such a subjugated position of women in sports is the outcome of long-held conceptions such as “supreme physical structure” and “top level performance,” which emphasize biological disparities to the exclusion of women (Koca and Bulgu, 2005).

The socially enforced oppression of women brought together the concerns to address with their placement in sports performance. Attempts were made to keep woman athlete Kathrine Switzer from running in the Boston Marathon, but her performance was one of the most memorable in the history of women in sports.

Football is a sports branch that has an important place in human history. People have been playing the game of football with or without rules for centuries. Although more than one sports branch has significantly influenced societies and masses in the development of world history, none of them have been able to bring their popularity to the level of football. In addition to the influence of football as a sport, the football industry has also found a place in the world economy (Yaşar and Sunay, 2018). In addition, the game of football has become a social phenomenon rather than a sports branch. In other words, football is affected by social developments and can cause social changes and transformations.

According to Palacios-Huerta (2004) Football is the world's most popular sport and has an unrivalled appeal around the world. Hundreds millions of children and young people around the world are practicing it and many more adults are following. According to FIFA (Fédération Internationale de Football Association), the last World Cup matches in Russia (2018) were watched by a total of 3.572 billion people (fifa.com, 2018).

## Women's Football in the World

Football, which is one of the most popular sports in the world, has traditionally been seen as a male-dominated activity, with women who attempted to play facing opposition and being suppressed the majority of the time (Harris, 2001). The first women's football team (British Ladies) was founded in the United Kingdom in 1894, and several women's football

teams started playing matches in front of thousands of men and women in the United Kingdom beginning in 1895. (Pfister, 2003). However, after the money collected for charity at a match attended by 53 000 people in Everton in the 1920s was defiled, the football governing body in the United Kingdom (FA - English Football Association) prohibited women’s football from associations and league matches on December 5, 1921. (Williams, 2013). English football Association stated that “ ..... the game football is quite unsuitable for female and ought not to be encouraged” (FA. Women’s Football : A Brief History) .

Women’s football, which was not sponsored by national and international football federations until 1970, was on the rise, as evidenced by a growth in the number of national leagues and international tournaments (Mintert and Pfister,2015).

According to the report issued by UEFA under the caption “Women’s Football 2016-2017) the leading countries in Europe with 1.2 million players are distributed in the football manner :

<u>Country</u>	<u>Number of Woman Football Players</u>
Germany	209,713
England	106,910
France	106,612
Holland	153,001
Norway	100,066
Sweden	179,050

FIFA reported that about 13,3 million licensed women play football worldwide, with the number increasing day by day (FIFA. Women’s Football Member Associations Survey Report 2019).

Despite these improvements, it does not appear that men and women can be equal in football. The difficulties experienced in women’s football, as well as its legality, stem from clichéd and persistent judgments, as well as a definitive lack of resources (Pfister, 2015). The decision by FIFA to allow women to play on artificial turf rather than a turf football pitch in the 2015 Women’s Football World Cup has resulted in their search for rights in the courts, which is an example for this specific case.

In many societies, the beliefs and attitudes that football is and should remain dominated by males take the shape of attempts to obscure the skills

of women in their femininities. The fact that Ada Hegerberg had to deal with the announcer's question "Do you know how to twerk?" when she was invited to the stage to receive her prize in the award ceremony in 2018, the first time the best women football player was awarded, reveals that nothing has changed for the women who have had to challenge sexist approaches.

### **Women's Football in Turkey**

The first agenda initiating the combination of football game with the women in Turkey dates back to 1954. It is known that the headlines of the gazette *Milliyet* dated May 25, 1954 with "The first football match between the women was played in Turkey " was in fact a mixed game among 6 women football players ([gazetearsivi.milliyet.com.tr](http://gazetearsivi.milliyet.com.tr), 1954). The same *Milliyet* newspaper reported on June 23, 1954 that the first women football match will be played between İzmir Women's Football Team and İstanbul Women's Football Team on July the Fourth which was then pushed forward. In 1969, when no official women's football team existed, the first international women's football match was played in İstanbul Mithatpaşa Stadium (Now BJK İnönü Stadium) between the "Italian Girl Team" and the "European Mixed Girl Team" (Orta, 2014). In line with the development experienced during post 1970 period with respect to the Women's Football around the globe, Turkey has made a number of initiatives to promote women's football. The women's football team founded in 1971 under the auspices of the Knalada Sports Club (also known as İstanbulspor Girls Football Team) was renamed Dostlukspor in 1972 and was registered as the first official Women's Football Team in Turkey following its renaming as "Dostlukspor Girls Football Club Association" in 1973. (Orta, 2014).

As a consequence of the measures taken to develop women's football, the Women's Football League was established in the 1990s, with the participation of 16 teams from seven provinces divided into four groups. Soon after the official league was established, the Turkish Football Federation (TFF) decided to establish the National Women Football Team and applied to UEFA to participate in the eliminations of the 1995-1997 European Championship (TFF - History of Turkish Football Game).



### Turkish Women's Football Team in History

(ttf.org, 2012)

Despite these improvements, it is difficult to say that the development rate of women's football in Turkey is constant. The prevalent sexist mindset in football, a lack of materialistic sources, and TFF's view of women's football as a social endeavour all created difficulties for women's football. Despite the passing years, the sexist attitude toward women's football has not altered. In 2012, a male coach alleged on a sports broadcast that "I never talk about football with a woman. Football is a male-dominated sport "despite the fact that the women's football league has been in existence for 8 years. (youtube.com, 2012). The present conditions did not appear to have improved in 2020, as evidenced by the sports speaker's remark on a private TV broadcast that "football is such a patriarchal game that volleyball, for example, fits to the women and I personally think that the women should not be participating in football." (bbc.com, 2020). Such statements continued with the speaker's sexist remarks during the national award ceremony for the best football player in 2018. (theweek.in, 2018). Sexist statements regarding women's football, rather than their efforts and achievements, hold a substantial agenda, which is an unwelcome clich  .

Problems such as a lack of financial resources and the federation's inability to offer support for women's football in comparison to men's football have emerged as a set of issues, combined with sexist attitudes. Despite the fact that the league had been established for three years, the

teams were closed one by one in such a climate. Despite considerable accomplishments, the withdrawal of the Dinarsu Women's Football Team from the league demonstrates that women's football has gone through a period of regression following the advancements made. TFF declared the dissolution of the leagues and national team in the 2002-2003 season after a ten-year survival of the official league with persisting issues. The underlying reasons of the decision was defended by TFF that *TFF justified the fundamental grounds for the decision "...This year, clubs have not applied for registration and the active playing teams are either closed or opt not to participate in the league. To restructure the women's football, no arrangements will be made for the Adult Women's League. league will be formed to cover women born in 1988 and subsequent years ..."* (Öztürk, 2017). However, the proclamation does not reflect the facts as known by the coaches and female players at the time, and the homophobic attitude of the then-governing TFF management has not been made public. (habervitrini.com, 2003). It gets to the point that, when questioned why the leagues had been suspended for three years in the past, the coordinator in charge of the project intended to promote women's football replied that "There were several reasons. "Mostly social and economic grounds," where "social reasons" "referred to discussions indicating that the majority of female football players were not straight (Öztürk, 2017).

As women's football grew in popularity across the world, women above the age of 18 were barred from participating in TFF-organized organizations, and formal leagues were halted until 2006.

The women's football league was re-established in the forthcoming process, with 15 clubs participating in the 2006-2007 season. Table X shows the structure and organizational form of official leagues since 2006, as well as the number of licensed teams and players.

**Table ... 2006-2018 TFF Wem's Football Leagues, Numbers of Team and Players**

Football Season	Leagues	Number of Teams	Number of Licensed Players
2006-2007	1 <sup>st</sup> League	15	296
2007-2008	1 <sup>st</sup> League 2 <sup>nd</sup> Level	22	600
2008-2009	1 <sup>st</sup> League 2 <sup>nd</sup> League (Regional Leagues)	50	1000
2009-2010	1 <sup>st</sup> League 2 <sup>nd</sup> League (Regional Leagues)	54	1080
2010-2011	1 <sup>st</sup> League 2 <sup>nd</sup> League (Regional Leagues)	72	1500

2011-2012	1 <sup>st</sup> League 2 <sup>nd</sup> League	102	1836
2012-2013	1 <sup>st</sup> League 2 <sup>nd</sup> League	81	2700
2013-2014	1 <sup>st</sup> League 2 <sup>nd</sup> League	87	3337
2014-2015	1 <sup>st</sup> League 2 <sup>nd</sup> League 3 <sup>rd</sup> League	86	4138
2015-2016	1 <sup>st</sup> League 2 <sup>nd</sup> League 3 <sup>rd</sup> League	104	5087
2016-2017	1 <sup>st</sup> League 2 <sup>nd</sup> League 3 <sup>rd</sup> League	127 <sup>iv</sup>	39.233 <sup>i</sup>
2017-2018	1 <sup>st</sup> League 2 <sup>nd</sup> League 3 <sup>rd</sup> League	127 <sup>iv</sup>	40.213 <sup>ii</sup>
2018-2019	1 <sup>st</sup> League 2 <sup>nd</sup> League 3 <sup>rd</sup> League	110 <sup>iv</sup>	98.560 <sup>iii</sup>
2019-2020	1 <sup>st</sup> League 2 <sup>nd</sup> League 3 <sup>rd</sup> League	104 <sup>iv</sup>	Unknown

Sources: From 2006 to 2016 (Öztürk, 2017); <sup>i</sup>UEFA 2016-2017 Women's Football Across The National Associations ; <sup>ii</sup> UEFA 2017 Women's Football across the national Associations; <sup>iii</sup> FIFA, 2019 Women's Football Member Associations Survey Report, <sup>iv</sup>TFF Archive of Women's Football Leagues

When the above table is examined, there is an increase in the number of teams and licensed players played up until 2016, with a decrease in the number of teams participating in leagues and a massive increase in the number of licensed players. This is said to be owing to the issue of licenses to persons who formerly participated in different girls football events and organizations conducted rarely by TFF under the slogan of “Football for Everyone” but were not league players. Another conclusion from the above table is that including girls who participated in several organizations as licensed players in the statistics has not paved the path for the development of women's football and international success. The fact that the National Women's Football Team has failed to achieve success after 25 years proves that expanding the number of female football players through single-use licenses has had no impact on the development of women's football.

According to the 2018 Survey Report on Women's Football, which was completed with the participation of coaches, football players, and female football referees (2018 Survey Report on Women's Football)

It is specifically noted therein that women were subjected to oppression from families and the environment due to the notion that football is a male-dominated activity, and they failed to perceive football as a career due to economic discrepancies between men's and women's football, women's matches had to be played on substandard fields in the hours left over from men's matches (regardless of the weather being unsuitable for football), and the TFF's support for women's football is less than that for men's football. In the current case, most of the official men's leagues organized by the TFF were allowed to play, while the start date for women's leagues had not been announced due to Covid -19 pandemics (TFF, 2020), proving that no sports policy has been developed to provide solutions to the problems



of female football players.

According to the report, women coaches were not invited to meetings and were subjected to discriminatory practices such as being left out of the process, whilst women referees were not nominated for professional matches despite having comparable qualifications and were subjected to sexist treatment by clubs, players, and fans in the matches in which they were appointed (2018 Survey Report for Women's Football) .

The TFF Directorate of Football Development has handled women's football, which has been considered as a social initiative from its inception. In other words, despite its 25-year history, it is still considered as a social project rather than a professional position. Despite this, the three top teams (BJK, Fenerbahçe, and Galatasaray) have begun to activate their women's football teams and this is important for the future of Turkish women's football.

### **Conclusion and Recommendations**

Women football players have long made every effort to improve their talents both in Turkey and throughout the world, while having to contend with the gender issues provoked by society. Such difficulties are not confined to efforts to establish themselves as female football players on sporting platforms and in society. Female football players in Turkey have to confront the TFF's genderist and homophobic attitudes. Despite the fact that the women's football league has been in existence for 25 years, the TFF has not progressed beyond its evaluation of women's football as a social endeavour. Female football players in Turkey have never been considered professional professionals.

Although it seems that it is the primary responsibility of the clubs to make the selections at early ages, provide the sportsmen with appropriate developmental steps as well as the organizational cooperation for concurrent occupation of sports and training-education, it is not possible to realise all these in the absence of the support provided by the TFF. TFF must determine that women's football is a professional branch, not a social endeavour, in order to establish a women's football national league and women's football teams that may participate in international organizations. Furthermore, it is clear that efforts to develop women's football should be made throughout the country rather than only in pilot areas.

The captions listed below should be included in the actions to be taken.

### **Recommendations for the TFF :**

- Introduction, proclamation, and public awareness of the females' ability to perform at the highest level in women's football at all times,

- The TFF should go through a transformation process to remove oppressions for being "Feminine - Heterosexual" on female football players.

- The TFF should organize meetings with the primary actors of women's football (football players, coaches, and club managers) prior and after each season to exchange ideas on how to manage the process more effectively. Furthermore, the extent to which decisions are executed should be documented every year in order to realize long-term objectives for women's football.

- TFF should allow for the creation of a committee comprised of women's football teams, with the participation of academics specialized in social gender and researching women's football in a social context, and the recommendations made by such a committee should be implemented.

- The TFF's funding for women's football should be increased. It is essential to allocate equitable funds to the teams for expenditures such as sports equipment, matches, and scheduling for infrastructure research.

- Positive advantages for female coaches who choose to engage in football coaching promotion courses will expedite the development of women's football in Turkey.

Fees for licenses, visas, and transfers for female football players may be waived or charged at a reduced rate for teams.

### **Recommendations for the Club Employees**

- When communicating with sportswomen, the employees of the club and in particular, the coaches should avoid sexist language

- The coach and management should meet with the families of the young sports girls on a regular basis to discuss the developmental process.

- Regular training courses on social gender issues for families and sportswomen should be supported by professional help. Such encouragement will act as a deterrent to the families' propensity to prohibit the sports girls from playing football.

- By considering the girls' developmental process in its entirety, opportunities should be sought to sustain in a balanced manner the provision of time for schooling and sports activities for the girls.

- Gender equality should be considered in light of the services provided by the club (training ground and hours, equipment and sport payments).



- Without ignoring the fact that football, like other sports, serves as a means for the development of young girls, the development process of the sports people should be a primary concern.



Recently Turkish Women's Football Team

(trtspor.com.tr, 2021)

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# Chapter 10

## THE COLLAPSE OF THE TANG AND TRANSFORMATION TO THE FIVE DYNASTIES<sup>1</sup>

*Kubilay ATİK<sup>2</sup>*

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1 This chapter was written as part of a PhD dissertation by the author under the supervision of Prof. Dr. Mustafa Soykut in Middle East Technical University, Department of History and defended in 2017.

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A political entity that has been called as China had been evolving for centuries since the first settlements in the Yellow River basin. This political entity is hard to define in terms of set geographical limits since its borders were ever changing for centuries. While its southern borders had been expanding without much disturbance, the Chinese expansion to the east was limited by the Pacific Ocean. To the North and West, the Chinese expansion was either limited or even reversed by the nomadic or semi-nomadic peoples of the steppe, the Tibetan plateau or Manchurian rivers and forests. Until the Tang times (CE 618-907) however, the peoples to the north and west were mostly under the organization of tribal confederations and although there was a set of fortifications later to become the wall of China, there was no set border between these peoples and the Chinese. By the beginning of the Tang times however, these peoples on the borders of the Tang dynasty began to organize into coherent political entities with their own institutions, either inspired by the Chinese or the sui genesis developments within their own traditions. Thus, although there had been relations between the Northern, Eastern, and Western “barbarians” from the very early times onward, it would be convenient to start our narrative of diplomatic relations between China and its neighbors from the Tang dynasty.

The Tang Dynasty (CE 618-907) has long been considered as one of the greatest dynasties of Chinese and in deed world history by historians. Especially during the reign of Tang Taizong (CE 626-649), China had subdued the Turkic and Mongol tribes to its north and Tibetans to its west as well as moving further south down to Vietnam. In addition to these political and military successes, the Tang Dynasty had a more important success which was to become the suzerain state of its neighbors even without resorting to military means as in the case of Japan for a while, and even the Silla Kingdom ( BCE 57-CE 935) of the Korean Peninsula which accepted Tang suzerainty despite having bested the Tang in war and driving it out of the Korean Peninsula in 676 in the aftermath of Tang invasions in alliance with the Silla kingdom between the 647-668. The states and tribes that willingly became Tang vassals without a fight or even without having a direct border with the Tang had two kinds of interest in doing so. One advantage of such a relationship was economic. The Tang Dynasty had prospered greatly and became the economic and cultural center of the East Asian World. Economically, culturally and politically, China had become the Middle Kingdom not only in Chinese theory and rhetoric as in the Qin (BCE 221-206) and Han Dynasties (BCE 206- CE 220) but also in practice. But nevertheless, the Tang Empire had its limits. Although they had subdued the Türk Qaghanate and the Turkic and Mongolian tribes to its North, the Great Tang Taizong himself was defeated by the

Goguryeo Kingdom in Manchuria in 645. It is obvious that from the Tang time onward, its neighbors were attracted to the economic wealth and the cultural influence of China and in most cases, became voluntary vassals as in the case of the Silla Kingdom, who after allying with the Tang Dynasty defeated and annihilated the Baekje and Goguryeo Kingdoms but then also ousted the Tang forces who helped them and united Korea. Soon after they united Korea, the Silla Kingdom and the following Goryeo and Joseon Dynasties all pledged their loyalty first to China without being forced but then were forced by Manchurian powers as we shall see to become their allies and vassals.

The inclusion of nomadic tribes to the North and West of China to the imperial system and their growing presence within the army ranks could be controlled when the Tang Empire was strong. Also, the policy of dividing the tribal confederacies through different means also worked for a long time. Even when the Empire was not so strong due to inner political turmoil, they could somehow be checked through sending off imperial princesses or buying them off through gifts and money. But when the An Lushan<sup>1</sup> rebellion<sup>2</sup> broke out in 755 the central authority came to the brink of collapsing altogether along with the dynasty. An Lushan was of Turkic-Sogdian origin person who was employed by the Tang within the army and who quickly rose within the ranks of the army through both merit and political cunning. Through his personal relationship with the emperor Xuanzong (玄宗: reign period: 712-756) and the Empress Guifei (Yang Guifei 楊貴妃: 719-756) as well as the head of the state Li Linfu (李林甫) and thanks to his military successes, he was appointed as the military governor of the Hebei (河北) region with enormous authority and privileges for 12 years. Historical records as well as historians have been speculating on the motives of An Lushan for rebellion such as his ethnic origins, politically volatile atmosphere and the insecurity that he felt after the death of Li Linfu, or his seeing an opportunity to seize the power seeing the weakness of the Tang dynasty. Whatever his reasons were, he was well prepared. He had an elite unit made up of nomadic steppe horsemen of eight thousand as well as regular forces in the Hebei region totaling to two hundred thousand (Dalby, 1979, p. 562). His rebellion has been seen by many historians as the main cause of the collapse of the dynasty although

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1 An Lushan/ 安祿山 (An Roxan?). This name has been considered as a Manicheist name taking into consideration that his father was thought to be a Sogdian. The surname An (安) meant safe, secure, peaceful, and was a common surname given to people of non-Han origin who came to servet the Chinese and were deemed to be trustworthy.

2 For Information on An Lushan Rebellion See: onathan Karam Skaff, "Barbarians at the Gates? The Tang Frontier Military and the An Lushan Rebellion," *War & Society* 18, no. 2 (2000): 23–35; Edwin G. Pulleyblank, "The An Lu-Shan Rebellion and the Origins of Chronic Militarism in Late T'ang China," *Essays on T'ang Society*, 1976, 32–61.; Edwin G. Pulleyblank, *The Background of the Rebellion of An Lu-Shan*, vol. 99 (Greenwood Press, 1982).



the rebellion itself did not bring an end to the dynasty. Another major change that this rebellion brought about was the collapse of the central authority, especially in the border regions (Pulleyblank, 1982, p. 99). But to fully understand the rebellion's background and aftermath in terms of the changes that it brought to the political sphere in China and East Asia, we need to understand the political and economic changes that took place within and without China at around this time before and after the rebellion.

By beginning of the reign of Xuanzong in 712, the borders of the empire stretched to an area so wide that, the military organizations of the previous eras were not sufficient to protect these borders, especially in the north and west where highly mobile nomadic peoples' confederacies rose to power at around these times. The Tibetans established an empire<sup>3</sup> and began to threaten the western regions. The Khitans became a formidable power in the North East against whom An Lushan fought successful wars but also faced crushing defeats at times. In order to deal with these problems, the government established border provinces which were ruled by military governors. Unlike the other central provinces where the military generals could only organize the military for security issues and did not perform any kind of authority over the civilian administration in any way, the military governors in the border provinces for the practical reasons of dealing with the nomadic tribes with a free hand, were given right to collect taxes and perform also the civil administrative authority in their spheres for the facility of overcoming bureaucracy related to logistics which was perhaps one of the most basic problems if the central authority tried to send soldiers to the spot from the center (Peterson, 1979, pp. 500–510). The western and northwestern provinces which were poor were always obliged to the central government for provisions since the production in these provinces were low. But the Hebei region was rich in resources and could feed a huge army without any support from the central government. At first the military governors were given short tenures in these border regions in order to prevent their becoming too strong in a province. But as time elapsed, the Tang court became laxer in its treatment of these military governors and like An Lushan, many other military governors were given extraordinarily long tenures in their provinces which gradually became their seats of power. From the point of view of dealing with external threats, this system worked out very well and this success along with allowing the government to give longer tenures to these governors as a reward for their successful defense also made the government feel safer militarily (Pulleyblank, 1976, p. 102). The militia system which was previously used was gradually abandoned and the military power of the central government in the central

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3 The Tibetan Empire (Bod Chen Po/བོད་ཆེན་པོ་: Great Tibet) also called as Tubo (吐蕃) by Chinese reigned in Tibet as well as other parts of China and Central Asia between 618 and 842)

regions away from the border became weaker and weaker to the point that when the An Lushan rebellion broke out, the central government did not have any sound army of its own but had to desperately depend on the armies of the border generals. After many years of devastating battles between the rebels and the Tang generals, population, wealth, land and even more the prestige of China decreased vis-a-vis its neighbors (Dalby, 1979, p. 564). This was around the time that Japan began to turn inwards and decrease its missions to China. Korea and Vietnam also began to lessen their tributary missions due to difficulties of safe travel as well as uncertainties within the empire. But this was a gradual process and did not take place immediately after the rebellion, though one of the consequences of the rebellion was the loss of prestige along with territory. The Tibetans had built their empire and the Tang Emperor had to accept the Tibetan Emperor as an equal. But the government was in a more urgent situation than thinking of its prestige outside of China. As a result of the rebellion, the military commanders saw that the government needed them and they had the chance to act more independently in their own regions. Also as a hasty military precaution against the army of An Lushan who marched to Luoyang and Chang'an, both capitals of the Empire, the government had to set up military governors also in the central provinces to stop him. Most of these proved to be permanent even after the rebellion. So, a high level of militarization of the populace also took place during the rebellion and the government's efforts to demilitarize and disband the regional armies proved to be futile (Dalby, 1979, p. 579). Hebei region stayed as a semi-independent region thereafter and the government faced embarrassing defeats even years after whenever it tried to remove a governor or march to Hebei region. As a result, other governors also began to become more autonomous and the central government gradually became weaker. The consequence of such internal weakness was the loss of especially the vast western regions to the Tibetan Empire and the recognition of this short lived Tibetan Empire as an equal. Chang'an, the Western Capital was even invaded and raided by the Tibetans in 763, though for a short time and this equality and the existence of another empire and emperor on the same footing with China set an example for the upcoming events. Its neighbors began to realize that China was not as strong as it used to be during the reign of Taizong. Vietnam<sup>4</sup>, Nanzhao, Tibetan Empire and other steppe peoples in the north were ready to take land or goods from China by force rather than becoming its vassal by now, but still China had the upper hand in the cultural and political sphere and this gave China a bit more time. Many of its neighboring kingdoms still felt the need to be legitimized by the Chinese emperor. This trend continued until the end of Tang and the

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4 The North of modern Vietnam began to assert its independence from the Chinese during the political turmoil that followed the An Lushan rebellion and the collapse of the Tang.

beginning of the Five Dynasties and Ten Kingdoms Era (907-960) when China truly became a state among equals.<sup>5</sup> The legitimacy of a king or a tribe leader or a governor who became a governor through inheritance or through self-declaration after mutiny and force on site, mostly needed to be confirmed by the emperor of China not because China was militarily strong or would always intervene politically or militarily to its neighbors or even to its own governors after the An Lushan rebellion, but because the leaders who came to throne by force or through inheritance all felt the need to be legitimized to ensure the loyalty of their subjects. This process had been built over many centuries. At first it began through conquest or trade with China. But then once the system was established and recognized by the majority of its neighbors, any new native dynasty or king who came to throne felt the need to be sanctified by the Chinese emperor just like the kings of medieval Europe did in the west with the pope in Rome. But unlike the Pope, the Chinese emperors ruled a huge empire and huge armies when they were strong and did not hesitate to use this power to dictate their will on their neighbors when the conditions were right. As in the case of the Korean unification by the Silla Kingdom, the Chinese sent a huge army and fleet to the Korean Peninsula and although they were driven out by their Silla allies in the end, the Tang showed that it could use force on a neighbor if necessary to force the mandate of heaven which the Baekje and Goguryeo kingdoms did not seem to revere much. But as it became apparent after the An Lushan rebellion and the sack of the Western Tang capital by the Tibetan Empire that the Tang no longer had the military power to dictate its will through military, its militarily stronger neighbors to the north and west became less attracted to the cultural values or political arguments of the Tang as well.

The Tibetans were one of the first to defy the Chinese superiority. They had united Tibet under a strong dynasty for the first time in their history and built up an empire through conquests in the east from Chinese lands and in the north from the Central Asian Turkic peoples. They were never subjected to the Chinese culture and civilization as the Koreans, the Japanese or the Vietnamese did and they needed the Chinese tributary system only for trade purposes not for legitimacy since they derived their legitimacy from other sources. The Tibetan Bön religion was one the sources to legitimize the Tibetan chieftains from early times onward. Later on, as the Tibetans were united under the Songtsän dynasty. Songtsän Gampo (569-649) was the first Emperor of Tibet to put Tibet on an equal footing with China. He did not only enlarge the Empire towards China

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5 Although there was an uprising in the 3rd century to gain independence from the Chinese, the Vietnamese independence under a native dynasty had its background in the late Tang times when the Vietnamese chieftains decided to rule over Vietnam themselves rather than by a new Chinese lord.

through conquest, but he also managed to get a Tang princess for his son after a campaign in western China in 635 (Beckwith, 1993, p. 97). This was of course not the first occurrence that a Chinese princess married a foreign monarch. For many centuries, the Northern nomadic chieftains as well as Khans had been marrying Chinese princesses. And this was also not the first incidence that a Chinese emperor had to accept equality with a foreign monarch whose military might was stronger than him and who through military threat forced him to accept equality. The originality of the Tibetan case was that, there were two separate ceremonies in two capitals binding the two monarchs as equals and in the Tibetan case the Tibetan rules, and rituals were applied instead of the Chinese rituals which was the case with the other Northern nomadic peoples. The Tibetans were not so much influenced by the Chinese culture, and there were also influences of Indian culture and thought on Tibet through Nepal and the trade routes through the Himalayas from Ghandhara in Modern day Pakistan (Walter, 2009, p. 49). As a result, the idea of mandate of heaven given to the Chinese emperor was not influential in Tibet as in the other countries. The Tibetan monarchy and the aristocracy initially derived their legitimacy from the local Bön religion like the Japanese monarchy and aristocracy initially did with Shinto. Later Buddhism entered Tibet and it was also used to legitimize the monarchical house of Tibet. As a result of these two religious tools that were effectively used by the Songtsän Dynasty, Tibet was solidly unified (Walter, 2009, p. 52). As a result of this, the Tibetan Empire saw itself on an equal basis with the Tang Empire unlike its other neighbors. The northern nomadic federations also revered the idea of mandate of heaven but for the Tibetans it was solely a Chinese idea that had no effect on Tibet. As a result, the Tibetans demanded equality in their diplomatic relations with China and received it through their show of force. This created an exception in the East Asian system of diplomacy and hierarchy in that Tibet for the first time in its history became not only a state, but also an empire on the same level with a Chinese dynasty, and a Chinese dynasty not only recognized the equality of another state but also accepted using its partners norms and languages alongside Chinese norms and language. Although the life of the Tibetan Empire was relatively short and did not live to see the end of the Tang, it gave precedence to the latter Empires to be founded in Manchuria or Mongolia to claim equality and later even superiority to the Chinese dynasties. Tibet would in this respect constitute an exception within the sphere of East Asian diplomacy even after its conquest by the Mongolians and incorporation into the Mongolian system of states that will be discussed later in the following chapters.

Another challenge to the Chinese hegemony in the diplomatic sphere came from the Japanese. But in the case of Japan, the Japanese did not have

the military power that the Tibetans had. In fact, during the unification of the Korean Peninsula by the Silla Kingdom, the Japanese were allies with the Baekje Kingdom and they received a blowing defeat against the Tang navy on the western coast of the Korean Peninsula and for many years after this, they expected a similar naval invasion force to invade the Japanese islands either from the Silla Kingdom or the Tang. But like the Tibetans, the Japanese had also declared their empire regardless of their relatively smaller land and military power. The Japanese Emperor coming from the Yamato clan derived his legitimacy not from the mandate of heaven or the sanctification from the Chinese emperor but from the Shinto and his claim of being descended from the sun goddess Amaterasu in the Shinto myths. As a result, the Japanese monarchs did not seek any Chinese legitimization for their rule, and since they did not have any other contending house or state directly neighboring them like the Tibetans on their high plateaus, they felt safe at home even without Chinese legitimization. In fact, seeking legitimization from a source other than the Shinto myths would jeopardize their situation since Shinto unquestionably put the house of Yamato on the apex and a Chinese Emperor could only be an equal of the Japanese Emperor on any area. In fact, the introduction of Buddhism by the ethnically Korean nobility to Japan was heavily opposed by the native nobility at its initial stages since these families like the imperial family derived their legitimacy from the Shinto deities that they claimed descent from (Sonada, 2008, p. 85). During the Tang times however, the Japanese were more than willing to take anything Chinese on the cultural sphere. They sinified their state structure to a great extent, they embraced many of the Chinese ideas such as Confucianism, Daoism and Chinese writing system as well as other literary and philosophical approaches. Although this current of Chinese culture and ideas had been flowing towards Japan for a long time since early times onwards, it definitely became a boom during the Tang period at the apex of Chinese cultural and political power. But then again, the Japanese had the luxury of taking these cultural assets indirectly from Korea. Until the unification of the Korean Peninsula by the Silla kingdom, the Kingdom of Baekje and the Gaya city states which were Japanese vassals of some sort were the main source of this flow rather than China itself. The Chinese characters, Buddhism, Confucianism, silk weaving, tea and many other important Chinese cultural values were introduced to Japan by the Baekje kingdom and other Korean kingdoms. And after the fall of Baekje and Goguryeo kingdoms, a huge portion of their aristocracy and intellectuals were welcome in Japan. And after a while as their relations were normalized with the Silla kingdom, the Japanese continued their cultural and commercial relations with the Korean Peninsula as well as the Balhae kingdom in Southern Manchuria. So, risking to severe the cultural and commercial flow directly from China by not recognizing the Chinese

Emperor as a suzerain of the Japanese Emperor would not necessarily affect the matters at home for the Japanese. As a result of this, Buddhism remained to be the center of relations between Japan and China and the Chinese preferred to ignore the Japanese defiance of their system rather than taking military action or cutting the ties and antagonizing them. As the Tang state withered so did the Japanese central authority independent of the developments on the continent. After more than a century of central rule, the lands and sources were slowly passing into the hands of the aristocracy in Japan, and Japan was more concerned with inner politics than diplomacy with China, so especially after the political turmoil in Tang, the relations between the two courts came to a halt and Japan did not constitute a legitimacy issue for the Chinese diplomacy or world view. A Japanese form of feudalism had been slowly but incessantly developing on the peripheries of the empire and the military class that evolved on these peripheries were slowly taking control of land and sources from the hands of the aristocracy by the end of the Heian Period (794–1185) in late 11<sup>th</sup> century. But even after Japanese central authority disintegrated and Japan began to be ruled by regional warlords headed by the Shogun during the Kamakura Period (1185–1333), it was convenient to keep the Japanese Emperor and derive legitimacy as a shogun from him then replacing him and try to derive legitimacy from an alien emperor. So, Japan remained out of the Chinese tributary system for the rest of its history.

Another less studied neighbor of the Tang dynasty was the Nanzhao Kingdom (南詔: 738–937) in modern day Yunnan. The area of Yunnan was initially ruled by tribal chieftains but later during the early 7<sup>th</sup> century they were united by the help of a Tang general under the leadership of one of these chieftains and organized into a kingdom. The Nanzhao kings initially owed their strength to the help from the Tang in the early 8<sup>th</sup> century. Later on, it came under the suzerainty of the Tibetan Empire but then again allied with the Tang. But as time passed they consolidated their power and eventually declared themselves independent of the Tang Empire in 750 and defeated two campaigns by the Tang which also coincided with the Battle of Talas in the west against the Abbasid Caliphate in 751 in the same year. And later on, the catastrophe of the An Lushan rebellion fell on the Tang dynasty from which it never fully recovered until its fall as a result of yet another rebellion, the Huang Chao Rebellion. By the second half of the 8<sup>th</sup> century, the Tang dynasty was on the defensive and Nanzhao kings exploited the situation and invaded much of Sichuan and took the city of Chengdu at the height of their power in 829. But later on, the dynasty fell as a result of inner political struggles, three successive dynasties followed until the Dali Kingdom (大理國: 937–1253) was established in 937 and this kingdom also survived for a long time until it was conquered by Qubilai Qaghan



during his campaign against the Southern Song while he was still a prince and his brother Möngke was the Qaghan. Yet the Nanzhao kingdom and the succeeding Dali kingdom presented another challenge to the Chinese world order. They had an independent state and a writing system of their own much like the Chinese writing system made up of glyphs and syllabic symbols but developed independent of the Chinese characters. Militarily they even held against the Mongols for a long time and they were able to control areas out of their homeland such as Sichuan, parts of Burma, northern Thailand and Laos. Their Kingdom outlived both the Tibetan and the Tang Empires and managed to retain their independence from both.<sup>6</sup>

Thus, when the Tang dynasty was founded, the only neighbor with a direct border that had an organized state structure was the Goguryeo Kingdom in Northern Korea and Manchuria. But by the beginning of the 8<sup>th</sup> century it was surrounded by organized states instead of tribes and semi-nomadic societies. These states coincided with a time that the Tang military power was descending. As a result, the Chinese idea that China is the central kingdom and every country under heaven should obey its will willingly and the rulers of the neighboring states should pay tribute to the Chinese ruler did not comply with the realities of the time, especially after the An Lushan rebellion and the sack of the Tang capital by the Tibetans in 763. Although they maintained the city for a very brief period of a few months, it was a great loss of prestige for the Tang. In addition to the Chinese inability to impose its will on its neighbors, its neighbors were now conducting diplomacy on their own accord as organized states rather than tribal chieftains trying to conduct trade on the Chinese soil. The Tibetans, the Türks first and then the Uighurs following them and the Arabs in the west were negotiating on their own without the sanction of a “son of heaven”. In the same manner, the Korean Silla Kingdom and Balhae kingdom and the Japanese had their own network of diplomacy and were exchanging embassies with each other more often than with the Tang court (Wyatt, 2008, pp. 2–4). Thus, it can be argued that a multi-state system of diplomacy in which states were equals began to be shaped long before the Song dynasty. But the Tang still retained a superior title and at least nominally superior position in its dealings with its neighboring states,

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6 For a detailed history of the Nanzhao Kingdom see: Xilu Zhang, 南诏与白族文化 [*Nanzhao Yu Baizu Wenhua: Nanzhao and Bai Ethnicity Culture*] (Beijing: Huaxia Chubanshe, 1992); Da Xiang, “南诏史略论 [Nanzhao Shilüe Lun: On A Brief History of Nanzhao],” 唐代长安与西域文明 [*Tangdai Chang'an Yu Xiyu Wenming: Tang Era Chang'an and Western Regions Civilization*], 1957; Kunsheng Li and Qingfu Qi, 南诏史话 [*Nanzhao Shihua: History of Nanzhao*] (Beijing: Wenwu Chubanshe, 1984); Xianshu Shao and Jun Shi, 南诏和大理国 [*Nanzhao he Daliguo: Nanzhao and Dali Kingdom*] (Jilin: Jilin Jiaoyu Chubanshe, 1990); Lincan Li, “南诏大理国新资料的综合研究 [Nanzhao Daliguo Xin Cailiao de Zonghe Yangiu: A Comprehensive Research on the New Materials from Nanzhao Dali Kingdom]” (Taipei University, Central Research Institute, Ethnic Studies Center, 1982); Charles Backus, *The Nanzhao Kingdom and T'ang China's Southwestern Frontier* (Cambridge University Press, 1981).

the only exception being the short-lived Tibetan Empire which managed to assert itself as an equal. But after the Huang Chao rebellion broke out in 874, the Empire collapsed totally even though the rebellion was suppressed. In 904, the last Tang Emperor was deposed by a military governor and the Tang dynasty officially ended.

After the last Tang Emperor was deposed by one of his own military governors and later poisoned in 907, China entered into an era of fragmentation. The Later Liang Dynasty (後梁: 907-923) founded by the military governor Zhu Wen (朱溫 Born: 852-died:912; Reign: 907-912) had limited power to control all of China. He was only one among equals of the military governors who appeared as local strongmen during the latter half of the Tang dynasty. He also lacked the moral authority since he lacked legitimacy as a founder of a new dynasty in the Chinese world view he needed to conquer, but he simply overthrew a child and later poisoned him. As a result, the Tang polity dissolved into many pieces. The Later Liang dynasty did not possess enough power to impose its will to the south of the Yangtze River, so in the South nine separate kingdoms evolved who nominally pledged their loyalty to the succeeding dynasties in the North but were de facto independent states both in their internal and external affairs. Some of them even sent and received embassies to foreign countries such as Korea, Japan, Vietnam and Dali. None of the first four dynasties lived long in the North. The Later Liang dynasty lived for only fifteen years and then was replaced by the Later Tang (後唐 :923-936). The Later Tang Dynasty was established by Li Cunxu (李存勖/ Li Cunxu (Born: 885-died:926; Reign: 912-926), son of a famous Shatuo Turk general Li Keyong (李克用: 856-908) in the Shanxi (陝西) region. They had been under the Tang military service for a long time and they established their power base in Shanxi. Li Keyong was given the Tang imperial family name Li (李) after his services in quelling rebellions during the end of the Tang Dynasty. So, it was no coincidence or pure admiration that Li Cunxu named his dynasty as Later Tang. While he was one of the few Emperors of China to worship the Turkic gods officially and hold official ceremonies and altars for them, he was still trying to appeal to his Han Chinese subjects as well and both for his Han and Turkic or Mongolian or any other Non-Han subjects, descent from Tang, albeit through adoption was a more legitimate tool than usurpation through dethroning and poisoning a child emperor. But the Later Tang also did not live long. In 936, 13 years after its foundation in 923, it fell to yet another Shatuo Turk Shi Jing Tang (石敬瑭: 936-942) who with the help of the Khitans defeated the later Tang and established the Later Jin (後晉: 936-947). But only seven years after its foundation, in 943 it was invaded by its Khitan allies who from the very beginning saw the later Jin as their puppet. However, the Khitans realized



that they would not be able to control China at this stage on their own, so they left the last of the Turkic dynasties, the Later Han (後漢: 947-979) as a puppet government to fill the vacuum. However, four years after its establishment in 947, one of the Chinese Generals within their ranks made a coup and established the last of the five dynasties in the north. Later Zhou Dynasty (後周: 951-960) was founded by the coup of General Guo Wei (郭威: 951-954) in 951 but soon he died without a natural born heir and his adopted son Chai Rong (柴榮: Reign: 954-959) became the next and the last Emperor. However, he can be credited as the man who after long decades decided to reunite China instead of trying to only keep the status quo. Although he was successful in his campaigns towards the Southern Tang Kingdom which was the largest and strongest of the southern kingdoms, he died during campaigning against the Khitans and one of his generals made a coup and established the Song Dynasty.<sup>7</sup> Thus the second phase of the unification began in China. First North was unified and Khitan attacks were repelled by successive dynasties, now the Song dynasty was also reconquering south. One by one the southern kingdoms fell against the Song dynasty, either through military conquest or mutual agreement as in the case of the Wuyue kingdom (Clark, 2009, p. 107). The last of the ten kingdoms to defy the Song was the Later Han kingdom in the North which was a continuation of the Later Han Dynasty and the last Shatuo Turk stronghold in the Shanxi region. Though they were protected by the Khitans their capital fell to the Song before the Khitans could send them effective military aid in 979. However, this relatively short term of fifty years which is usually seen as a mere disruption of order in Chinese history had long term important consequences within the framework of interstate affairs in East Asia. By the second half of the Tang era as it was mentioned, the Tang dynasty had to face the humiliation of being equals with one of its neighbors, the Tibetan Empire. This was not a new thing in Chinese history however; the Xiongnu had already been treated as equals before, although for their inner consumption the Chinese scholars refrained from iterating it openly (Di Cosmo, 2002, p. 168). Also the diplomatic networks that were established around China within its neighbors which did not necessarily put China into the center was also nothing new since the tribal federations in the North and in the west of China and others in the South had long been in contact with their neighbors without the proxy of China for a long time. Especially Korea and Japan had long standing ties due to their natural geographical and cultural proximity. Also, the fragmentation of China was not a new event either; China had such times of chaos and fragmentation

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7 For a detailed account of the Five Dynasties in English see: Naomi Standen, "The Five Dynasties," in *The Cambridge History of China: The Sung Dynasty and Its Precursors, 907-1279*, vol. 4, 12 vols., Cambridge Histories (New York: Cambridge University Press, 2009). Also, an English translation of the annals of the Five Dynasties periods is available in: Xiu, *Historical Records of the Five Dynasties*.

throughout its history (Takashi, 1993, pp. 389–412). But for the first time in its history China had fully organized states, not tribal confederations on its borders at a time that China was fragmented. And the Chinese states in the south and the consecutive five dynasties all established relationships with their neighboring states. The dynasties in the north tried to continue the façade of a superior China whenever they could but like the Song dynasty to follow them, in most cases they had to accept the realities of the time and give up the claim of superiority against their Khitan neighbors in the North-east. Also, the fact that there were Chinese states which engaged in a diplomacy putting all sides concerned on an equal basis undermined the Northern dynasties' claim to superiority towards their neighbors in the field of tributary relations. Korea was forced to accept the suzerainty of the Khitans. In fact, four of the five dynasties themselves had to accept the superiority of the Khitans in their diplomatic affairs. The Later Jin dynasty ceded sixteen prefectures in the North East which fell within the traditional Chinese homeland to the Khitans in return for their help and these sixteen prefectures would never be restored to China until the Yuan Dynasty. The loss of Korea as a tributary state and loss of land settled by Chinese people had constituted a legitimacy and prestige issues for the Song dynasty throughout its reign. Especially the sixteen prefectures became the reason of the loss of whole Northern Chinese homeland and Song exodus to the South of the Yangtze river in 1127. Then another attempt at recovering the Northern Chinese homeland started the wars with the Mongolians who had just conquered the Jin Empire and Song dynasty fell after a long series of struggles. Therefore, many of the roots of the problems surrounding the East Asian foreign relations lay in this relatively short fifty years which needs a closer examination.

The Northern Chinese plain saw five consecutive dynasties as had been mentioned above until the Song dynasty was established in 960. However, the southern kingdoms were more stable and in the south a new Chinese world based on equality of the sovereign states was beginning to take shape. These nine kingdoms still held onto some of the Chinese perceptions but mostly their movements in the interstate arena was as a sovereign state rather than a military governor who had autonomy as a result of his military strength. Their roots lay in the military governorships but after the Tang collapsed they truly became sovereign states. All nine kingdoms in ceremony and diplomacy began to act as kingdoms, not provinces of a Chinese empire. As a result, the relations between these nine kingdoms and the ever-changing northern regimes also took the shape of diplomacy rather than internal affairs of a state. They applied the precedents of the Tang and previous eras in their ceremonial approach for sending and accepting embassies. Some of these kingdoms like Wuyue or

Southern Tang who even had imperial ambitions sent emissaries to Korea, Japan, the Khitan Liao Empire and Vietnam (Clark, 2009, p. 89). These kingdoms and their interstate relations in a way set the example also for the non-Chinese states in East Asia such as Korea, Japan, Vietnam and Dali. And this pattern of equality among states did not change to a great extent even after the Song dynasty united China and the East Asian states continued to exercise diplomacy based on equality of sovereign states in the field of interstate relations. This in a way helps to explain the Japanese, Vietnamese, Korean or Dali kingdom's unwillingness to accept Mongolian superiority in their mutual relations.

One of the most important and longest living of the ten kingdoms was the Wuyue Kingdom (907-978) which centered around the modern-day Zhejiang province, some parts of Jiangsu and at the height of its power Northern parts of Fujian that it absorbed from the Min Kingdom. The name of the Wuyue kingdom came from the combination of Wu (吳) which was the name of a kingdom in the Spring and Autumn period (771 BCE-476 BCE) and Yue (越) another kingdom from the same period. Qian Liu (錢鏐 : 907-932), the founder of the kingdom was given the title of the Prince of Yue by the Tang emperor in 902 in return for his military services and in 904 he was also awarded the title of the Prince of Yue. When the Tang dynasty fell and the later Liang dynasty was declared in 907 in the North, he declared himself the king of Wuyue kingdom and thus the hegemony of the Qian family began in this region. Their most dangerous neighbor was the Wu kingdom which was also named after the Wu kingdom and on whose territory, the Wuyue kingdom also laid claim. The claimants were aware of the fact that they were not in reality the descendants of these ancient kingdoms, yet clinging to the legitimacy of these ancient precedents was more convenient than the source of a legitimacy obtained from a northern dynasty none of which did not last more than two decades. In fact, the Wuyue leaders promoted not only political independence but also cultural and even linguistic independence in their kingdom. The Wu dialect of Chinese which contains Shanghainese began to take shape during this period. Buddhism, architecture and other cultural pursuits were patronized by the Wuyue kings. It was one of the richest kingdoms and due to its position, it was one of the most diplomatically active kingdom of this era. The Wuyue kings sent embassies especially to Japan and Korea and to the Liao court as possible allies. At the center of the Wuyue efforts at establishing relations with these "foreign states" was economic ties and Buddhism. The Wuyue kings actively supported Buddhism and sent emissaries to Japan and Korea to obtain some of the Buddhist sutras that were lost due to the ravages of war at the end of the Tang. Their relations with the Korean and Japanese courts were based on equality and they were

using the title of king (王: wang) instead of a military governor, which they were just a decade ago. The Wuyue kings also established relations with the other Chinese kingdoms in the South. They were allies with the Min (閩) Kingdom (909-945) against the ever-aggressive Wu (吳) Kingdom (907-937) first and then the Southern Tang (南唐) which replaced it with a coup. In the West and North, it was surrounded by the Southern Tang and in the South, it neighbored another maritime kingdom, the Min. Later on, the Min Kingdom was absorbed by the Southern Tang but despite military pressure from its giant neighbor the Wuyue kingdom outlived the Southern Tang and was the last kingdom to be incorporated into the Song Empire. Diplomacy played an important role in the Wuyue kingdom's survival, maybe more than the military might (Worthy, 1983, pp. 14-47). A sort of localism had been in place in China beginning from the decline of the Tang and some of the Southern kingdoms were very successful in getting this local support in times of emergency. The Wuyue, the Min and the Southern Han kingdom (Located approximately in modern day Guangdong) were prominent examples of this. These three areas on which these kingdoms were founded developed their distinct cultures as well as their distinct colloquial languages starting from the late Tang times and the Five Dynasties era accelerated this process. The Min and Southern Han kingdoms were established on the former Yue (Viet) tribal areas. The Han Chinese that immigrated south and the Yue people here made a mixture of culture and ethnicity in these regions. Thus, the local languages of Minnanese spoken in Fujian, Taiwan, Singapore and other overseas Chinese communities of South East Asia and Cantonese spoken in Guangdong, Hong Kong and Macau still bear resemblances to the Vietnamese language today. In a way, the situation was like Europe after the collapse of the Roman empire. The peoples living in these areas mixed together and during the five dynasties era could be said to set on the road of becoming independent states, like Korea and Vietnam with their own language and culture though still within the Chinese sphere, had the Song dynasty not conquered them. But at that stage there was a historical consciousness rather than a national or an ethnic consciousness. The leaders of most of these states were ex-military commanders not locals, but they were trying to appease the local people through their conscious choices of names, titles and support for the development of the local culture. The character to describe the Min kingdom was for instance a derogatory character used to describe the Viet originated from "southern barbarians" occupying the area of modern day Fujian and the eastern part of modern day Guangdong province. Wuyue's Yue was also used to describe these southern Barbarians. But by going back to the legitimacy of these ancient kingdoms founded or populated<sup>□</sup> by "barbarians", the ruling houses of these kingdoms were freeing themselves of the burden of owing the Northern rulers for their legitimacy in addition

to obtaining a degree of local support. There was another reason lying in the Huang Chao rebellion and other rebellions of the Late Tang period for the Southern kingdoms' development for becoming independent states. The Tang dynasty was unable to protect these economically rich and productive areas and the locals had to protect themselves. As Clark explains if they had not put their allegiance in some other dynasty, it was because there was no other dynasty than Tang (Clark, 2009, pp. 139–140) unlike in the case of Song where many Chinese would prefer a “barbarian” dynasty that could protect them to a Chinese one. Thus, the Southern provinces evolved into separate kingdoms. It would not be quite possible for the ruling houses of these kingdoms to hold into power without the local support. But it would be wrong to exaggerate the influence of the non-Chinese culture upon these kingdoms. The Chinese culture was prevalent, especially after the arrival of the elite from the north who immigrated to avoid the wars and destruction in the North beginning from the An Lushan rebellion onwards (Clark, 2009, pp. 134–135). The Northern Han kingdom in the North China plain was the only kingdom of these ten to be in the North and it owed its long existence more to diplomacy than to its military might. It was the continuation of the Later Han dynasty established by the Shatuo Turks and they retained relations with the Khitan Liao dynasty, the Tangut Xi Xia dynasty and the other Dynasties either of Shatuo Turkic or Chinese in the Northern China plain until its annexation by the Song dynasty. Thus, the relations of Wuyue with Japan, Korea, and Liao, the relations of the Min kingdom as a maritime trade kingdom especially with Southeast Asia and the North, and the relations of Southern Han with Vietnam and South-East Asia were important in shaping the East and South East Asian conception of diplomacy from a Sino-centric to egalitarian basis.

The Wuyue was chronologically first and the last kingdom to be founded and absorbed by the Song. As mentioned above it had a strong cultural and economic basis in its heartland of the Jiangsu and Zhejiang provinces. It was militarily not the strongest state. The founder of the Wuyue Kingdom Qian Liu was a local bandit during the Huang Chao Rebellion (881-884). He joined the local militia to protect the area and he consolidated his power throughout time. When the Tang dynasty fell and the Later Liang was established, he simply declared himself the King of Wuyue Kingdom. Although he was an ex-bandit, due to the lack of protection from the Tang during its last phases, he seemed to be a better option for the local people than a figurehead Liang Emperor in the North. So, he became the ruler of a kingdom that he carved out through his military strength without much resistance from either the local populace or the last remnants of the Tang administration in the region who were also in disarray and confusion. Afterwards, the Wuyue Kingdom did not see any coups which were very

frequent in the Northern dynasties and other Southern Kingdoms of the age and was administered by the Qian family until its annexation by the Song without a fight. In fact, the fact that Qian Liu was coming from a poor village family and spent his youth as a bandit(Xiu, 2000, Chapter 14) makes it doubtful that he himself decided on many of the issues concerning the state. He should have received advice and help from the remainders of the Tang bureaucracy and elite in the region. Without their help, it would be impossible for any of the Southern kingdoms established by bandit leaders to administer their realms with banditry and use of force alone. In many of the kingdoms the bandits and other outcasts created the core of the new ruling elite. Their following was mostly military men rather than civil servants. But within a short time, they managed to attract the intellectual elite both from their own localities and from the Northern elite who were now immigrating to the stability and security of the rich southern lands which were previously seen as exile places. As a result of this there was a continuity of Tang ideology about legitimacy. In fact, although all the Southern Kingdoms initially recognized the later Liang dynasty they did not change the era name in their use of the calendar and stick to the Tang. This was a symbolical yet an important protest. Later on, the Southern Tang as the name suggests would claim the Tang mandate and the relations in the south within the kingdoms would be shaped around the Southern Tang's actions to impose its imperial claim. Not surprisingly, Southern Tang along with Wuyue was one of the two best governed states thanks to the migration of elites as well as their own well developed educational systems. The continuation of the Chinese order and ideas during such times perhaps can be best explained by the enduring scholarly culture. While the Roman system and ideas collapsed in the West after the fall of the Western Roman Empire China was more resilient in terms of continuity of ideas and institutions.

One of the initial problems for these states was legitimacy and the diplomatic arena was the most important area where states sought their legitimacy. All the Southern states recognized the Northern dynasties at least nominally at certain times and at certain times defied them and even declared them as bandits and rebels. Except for the Southern Tang, none of the kingdoms in the south did not have a serious imperial claim. The Southern Han kingdom in Guangdong also declared an imperial title and calendar but not being able to even subdue the Annam area in modern North Vietnam and facing military defeats they were realistic enough not to pursue an aggressive stance towards their neighbors. The initial concern of the kingdoms in the south was to prevent war within their borders as well as to legitimize their rule on the diplomatic arena through their recognition of each other. Furthermore, trade was an important source of income for these



states, especially the Min Kingdom in Fujian, Wuyue Kingdom to its North in Jiangsu and the Southern Han to its East, the three coastal kingdoms were the richest yet the most dependent kingdoms on trade. They were trading both with the Dynasties and kingdoms to their North, that is the Chinese Dynasties in North China and the Khitan Liao Dynasty in Manchuria and Mongolia, Goryeo kingdom in Korea, Japan and also with the Southern seas comprising the various South East Asian kingdoms as well as Indian, Arabic and other seafarer merchants. When we look at the relations between these three kingdoms it can be seen that they were nearly always cordial and cemented with marriage alliances. As an example, when the relations between the Wu Kingdom (later Southern Tang) and Wuyue got worse, the Min King did not hesitate to kill the Wu embassy, since although smaller and militarily weaker Wuyue was more important to the survival of the Min kingdom (Pan, 1979, Chapter 49). These kingdoms treated and recognized each other as equals and also in their dealings with other foreign states outside the Chinese realm. They established a diplomacy that was based on equality of the parties involved rather than a set hierarchy. After the Han and Tang dynasties, there was a multi-state system evolving in East Asia. Even though the Khitan Liao Dynasty was militarily stronger than all of its neighbors, it still lacked the rhetoric and self-confidence to universal claims that the Tang had in East Asia. The relations between the Chinese states and other East Asian states were mainly based on three topics. The first and the most important for the southern states was, as mentioned above, trade. They were instrumental in carrying necessities as well as luxuries from South to North and North to South. Although their area was also agriculturally productive, the income from silk, tea, spices and other luxury commodities was more essential for these states. The other topic that was frequently a common interest was Buddhism. Many monks came to and from Japan and Korea and even the Mongols used Buddhism as a means of diplomacy since they knew that the Buddhist monks were revered by the Japanese and had a better chance of success in their diplomatic affairs. The Wuyue kings sought for Sutras and other relics in Japan and Korea and their emissaries were respectfully received. The Min kingdom in Fujian had been trading with South East Asia and some of the initial Chinese settlements in South-East Asia began during this era from the Fujian region and Guangdong region. Even today the majority of overseas Chinese in Southeast Asia mainly speak the Minnanese and Cantonese in their daily life as a result of this historical trend to migrate to South East Asia in pursuit of trade and adventure from the Fujian and Guangdong regions. And while they were trading, Buddhism was also a matter of exchange in their relations, although Mahayana Buddhism was prevalent in China, in Fujian and Guangdong even today some forms of local Buddhist beliefs and rituals closely related to the Southeastern forms exist. The third subject was possible political

alliances with the neighboring states. Southern Tang and Wuyue tried to establish an alliance with the Khitans as well as the Koreans and Japanese in many futile events against the Northern regimes but Southern Tang was never strong enough to campaign against or oust the Northern dynasties that fell within or to the Khitan pressure. The other kingdoms on the other hand were trying to keep the equilibrium without fight and the main concern of their diplomatic efforts on the political scene was to preserve peace and avoid invasion the tiny principality of Jingnan surrounded by strong states on all sides was a good example of this diplomacy to their North they had the Northern China plain, to their South the aggressive Chu (楚) Kingdom (927–951), to their West the Shu (蜀) Kingdom (907–965) of Sichuan and to their East the Southern Tang. In the end, none of them did not invade the Jingnan (荆南) State (924–960) despite its military weakness, recognizing its mutually beneficial role as a buffer state until the Song reunification of China. However, these Southern Chinese kingdoms easily fell in the face of a strong Northern Dynasty and internal strife within the monarchical houses of these kingdoms. A detailed account of the intrigues and coups that occurred from the 950s onwards would fill many pages and yet repeat similar patterns of fratricide or patricide for gaining the throne or coups by the courtiers. As a result, when the consequent Northern dynasties slowly but determinately stabilized the North and the Zhao family asserted their power based on the institutions founded by the previous five dynasties, the Southern kingdoms were in a position of disunity. Maybe as a united front they could have been a more formidable enemy with their resources and manpower, as it would be proven by the Southern Song when they were thrown out the Northern China plain by the Jin. Song Dynasty resisted in the area South of Yangtze to the Jin and the Mongols very resiliently for nearly two centuries despite the military superiority of the enemies, but the Southern kingdoms were divided both within themselves and inside their own courts. As a result the Song dynasty reunited China by 960, by incorporating the Southern kingdoms either through conquest or with diplomacy as in the case of Wuyue. But the Southern kingdoms despite their short spans of reign had a longer lasting effect on the following Song dynasty in terms of its intellectual elite that came from the South and dominated the court politics and the economic arena where the Song court increasingly turned to Southern areas as an economic base and the fiscal systems based on the systems that were established by these Southern kingdoms. Also on the diplomatic arena their long-lasting effect was the continuation of the multi-state system both by the Song dynasty which was militarily or politically not strong enough to impose its will on its neighbors. In fact, the Khitans and later the Jürchens were more successful in creating their own orbits of tributary satellites and a new realm of their own in the center of which their dynasties, not the Chinese Song dynasty, stood.



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# Chapter 11

## CLUSTERING POTENTIAL OF THE INDUSTRIAL SECTOR IN SAMSUN<sup>1</sup>

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## 1. Introduction

Clustering is generally the geographical density of companies and institutions connected in a particular location (Porter, 1998: 78). In the last 30 years, the recognition of the concept of clustering has increased. Especially the new economic geography theory developed by Krugman (1991) and Porter's cluster theory, asserted in 1990, gained significant importance.

This study aims to examine the development of the cluster, which has an important place in the development of industry in the world, within the framework of prominent theories. In the light of this information, the clustering potential in the industrial sector in Samsun was evaluated.

In this context, the theories developed about clustering are briefly mentioned in the first part of the study. Then, the new "economic geography theory" developed by Krugman (1991) and Porter's "regional clustering" or "clustering" theory, which was put forward in 1990, were evaluated in recognition of clustering and its implementation as a policy in the world. Especially in cluster economies, Porter's clustering approach, which is taken as a guide by many countries globally, is mentioned. The life cycle of clusters and the importance of clustering are briefly stated by giving cluster examples.

In the second part of the study, potential clusters were identified in the industrial sector in Samsun by using the three-star technique; The potential of the sectors has been evaluated by making use of the information obtained from the interviews made with the institutions and organizations related to the industrial enterprises with clustering potential and the observations during the field studies.

The study is aimed to determine which sector tends to cluster in the industry by revealing and analyzing the strengths and weaknesses of the sectors in Samsun. According to the results, these were mapped, and suggestions were made for future studies on Samsun.

### 1.1. Methods and Materials

The data used in the research were mainly obtained from the SGK (2020) company data (number of active insured employment) in Turkey and Samsun. However, since there is no data for the industrial sector classified according to the 4-digit code we need, the data related to the industry were obtained from the Union of Chambers and Commodity Exchanges of Turkey (TOBB) (2020). In addition to these, some data were updated according to the information obtained during the field studies.

In this study, firstly, 10 m surface analysis was performed with the

ArcGIS 10.5 program. Then, each industrial facility operating in Samsun province was discovered using the Google Earth Pro program and field studies and processed on the map.

This study used the three-star analysis method to determine the sectors showing clustering potential in Samsun. This method is used by the European Cluster Observatory<sup>1</sup> for cluster mapping at the European level and is based on available employment statistics at the regional level.

In the three-star method, three fundamental indicators are determined, namely magnitude, prepotency or dominance, and consensus, and a threshold value is calculated for each. Sectors exceeding the said threshold value receive a star from each indicator and are considered as potential clusters. However, there is no standard threshold value determined in the analysis in question. The researcher evaluates it according to the field where the study is carried out. Therefore, because the industrial development will vary according to the location in the determination of the threshold value in the study, the arithmetic average of the coefficients of the indicators previously calculated in the three-star cluster analysis was taken, and these averages were accepted as the threshold value for each indicator (Table 1).

Table 1. Threshold values used in three-star cluster analysis for Samsun

		Magnitude		Dominance		Specilization	
Data set	Nace Rev.2		%		%		%
Depending on the number of workplaces	4 digit code	0,0145	1,45	0,0006	0,06	1	100

**Threshold formula:**  $Arithmetic\ Mean = (x1 + x2 + ... + xn)/n$

In the three-star method, industrial sectors showing clustering potential in Samsun were analyzed according to Nace Rev.2 four-digit codes. For example, 10. Food products manufacturing is binary digit code, and 10.61 milled grain products manufacturing is 4-digit code.

Since the three-star cluster mapping method was insufficient in determining the clustering potential of the industry in Samsun, the observations during the field studies and the interviews with the institutions and organizations were appended to the study, and the three methods were discussed together. Statistical data were evaluated accordingly.

1 The European Cluster Observatory is an online platform that provides a single point of access to cluster policy and analysis of clusters in Europe. The Cluster Observatory produces reports on regional competitiveness conditions, cross-border cluster networks and clusters of emerging industries, and studies on good practices in cluster organizations (URL 1-2).

### 1.3. Location of the Research Area

The province of Samsun, which forms the research area, is located in the Central Black Sea Division of the Black Sea Region in the north of Anatolia. With the Black Sea to the north, Samsun is circled by Sinop in the west, Çorum in the southwest, Amasya in the south, Tokat in the southeast, and Ordu in the east (Figure 1).

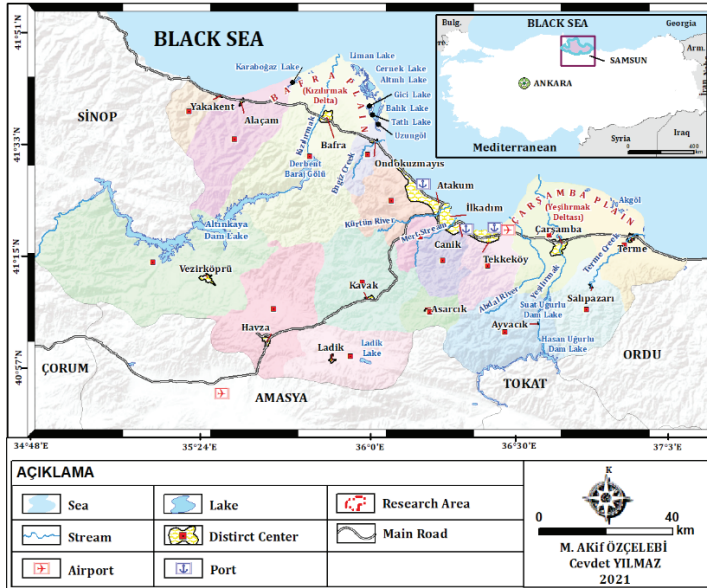


Figure 1. Samsun location map

With the advantage arising from the geomorphological structure of Samsun, it is on the transition line connecting the Black Sea Region to the inner regions via Kavak and Havza (Yılmaz and Zeybek 2016:315). In addition, Samsun's advantages of transportation such as railway, airway and highway, port facilities, having the second and third largest Çarşamba and Bafra delta plains in Turkey, and sufficient population to provide workforce constitute are significant potentials for the development of the industry in the province.

The province of Samsun, which is the subject of the research, has a 0.80% share in the total industrial enterprises in Turkey, according to the Capacity Report 2020 of the Union of Chambers and Commodity Exchanges of Turkey (TOBB). It ranks first in the Black Sea Region with a share of 14.32%. In the number of employees, the share of Samsun in Turkey is 0.71%, and it ranks 27th in the country. The province is in third place after Zonguldak and Düzce in the Black Sea Region.

## 2. Conceptual Framework

Research on clustering is not a new topic. The traditional location theories about selecting the companies' establishment location and their concentration in a particular area and the theories such as Marshall's industrial zones (agglomeration economies) formed the background of today's clustering (Hart 2009: 90). Later, theories such as flexible production system, regional production, regional clustering, and new economic geography were revealed. The common idea in these theories is that organizations and institutions that support each other gather in the same place and work in cooperation. In other words, although the researchers used different descriptions, they had similar approaches. Therefore, in this study, the development of clustering was evaluated together with the theories above. Theories developed about spatial agglomeration and clustering are summarized in Table 2 below (Enright, 2003: 101 and Tümertekin & Özgüç, 2009).

*Table 2. The main theories developed regarding the aggregation, agglomeration, and clustering of industrial activities (Enright, 2003: 101 and Tümertekin and Özgüç, 2009).*

Researchers	Approaches
<b>Von Thünen (1826), Weber (1909), Lösch (1967) and Hotelling (1929)</b>	Traditional location theories focused on the least cost and highest profit theories (Tümertekin & Özgüç, 2009).
<b>Marshall (1920)</b>	He designated and explained the development of localized company groups in the same industry.
<b>Becattini (1989, 1990) ve Brusco (1982, 1990)</b>	A few researchers, such as Becattini and Brusco, have defined Italian industrial regions as a combination of local identity or trust, combined with competition and cooperation.
<b>(Piore ve Sabel, 1984)</b>	They explained Italian industrial zones and their flexible production systems and a new form of the manufacturing organization.
<b>Scott (1987, 1992, 1998) and Storper (1992, 2000)</b>	Economic geographers such as Scott and Storper have explored the links between location and regional production systems.
<b>Porter (1990) and Enright (1993), Audretsch (1995, 1998,2000), Feldman (1993), Russo (1985), Oakey (1985) et al.,</b>	They associated regional clustering with competitiveness.
	They explored the geography of the innovation process.



One of the oldest approaches to spatial clustering is traditional location theories. In the location theories, only the input and market proximity conditions are modeled by considering spatial proximity's cost advantages and transportation charges. On the other hand, Marshall argued that firms would have different benefits in clustering economies by gathering together in the same place. These advantages are the specialist workforce, the local provision of industry-specific non-commercial inputs, and the externalities associated with the maximum flow of information and ideas (Krugman, 1991).

Until the 1970s, the number of studies on the clustering of firms in a specific place was less. However, it gained importance, especially with developing the flexible (Post-Fordist) production system in the 1970s. This new "flexible expertise" is based on the flexible use of labor and capital that can be easily adapted to the needs of changing markets (Dawkins, 2003: 107). With the flexible production system, many theories have been put forward regarding the choice of location, the gathering of firms in a specific place, and the externalities there. One of them is the theory of Italian industrial zones. Marshall's clustering economies form the basis of Italian industrial regions developed by a few researchers such as Brusco and Becattini (Enright, 2003: 101).

While describing the Italian industrial zones, Markusen (1996: 298) accepted Marshall's industrial zones and developed the following 5 items.

- High rate of personnel turnover between customers and suppliers
- High level of cooperation among competitors to share risk, stabilize the market, and share innovation,
- Having a high percentage of employees engaged in design and innovation,
- The presence of solid trade associations that offer shared infrastructure management, training, marketing, technical or financial assistance, i.e., risk sharing and stabilization mechanisms,
- Sorted by the magnitude of local government's vital role in regulating and strengthening key industries.

### **2.1. The Theory of New Economic Geography**

Primarily since the 1970s, the decentralization and restructuring of the industry, the rise in information technologies, the increase in women's participation in the labor market, and globalization have increased the interest in economic geography and location has become an area of concern for economists (Tumertekin and Özgüç, 2009: 2). In fact, Krugman, who brought attention to the significance of location by developing the new

theory of economic geography, took his place among the prominent economists.

The new economic geography theory forms the core (industrial region) and periphery (agricultural environment) models. According to the model, the center is where the industry is focused; the periphery represents the agricultural regions. According to Krugman (1991), when an index that considers transportation costs, economies of scale, and expenditures on non-agricultural goods exceeds the critical limit, the population will begin to concentrate, and regions will begin to separate, and the process will feed on its own (Krugman 1991: 468). For example, the decrease in transportation costs due to the closeness of the factories to the market will increase the demand for this place (center), and other sections (periphery) will be served from these central places. Thus, there will be locational clustering in one region and sparseness in the other region. Accordingly, transportation cost has a vital role in the clustering of the industry in a specific region.

## **2.2. Cluster Theory**

Clustering is another concept that has dragged the attention of researchers along with the new economic geography in the last 30 years. (regional cluster). Clusters are considered to be essential elements in economic development (Porter, 1998; Malmberg and Maskell, 2002; Martin and Sunley, 2003; Menzel and Fornahl, 2010). Porter is the pioneer of studies on cluster theory that started in the 1990s. Opposed to the new economic geography theory, Porter conveyed the geographical concentration of the industry within the theoretical framework and pulled attention to the importance of competition. Porter listed the properties of clusters as follows (Porter 1998: 78).

- Clusters include related industries and other organizations critical to competition. They include, for example, suppliers of specialized inputs such as components, machines, and services and providers of technical infrastructure.

- Clusters often vertically supply channels and customers; horizontally, they expand the manufacture of complementary products. In addition, the skills, technologies, or standard inputs of organizations within the sector are distributed within the cluster.

- Many clusters include government and other agencies that give special education, training, information, research and technical support, vocational education providers, and trade associations (such as development agencies, chambers of commerce and industry) that provide specialized education, training, and information.

Porter (1998) tried to explain clustering with the example of the Italian leather fashion cluster. Accordingly, the cluster includes well-known shoe companies such as Ferragamo and Gucci and suppliers specializing in shoe components, machinery, molds, design services, and tanning leather, and components of these work in cooperation.

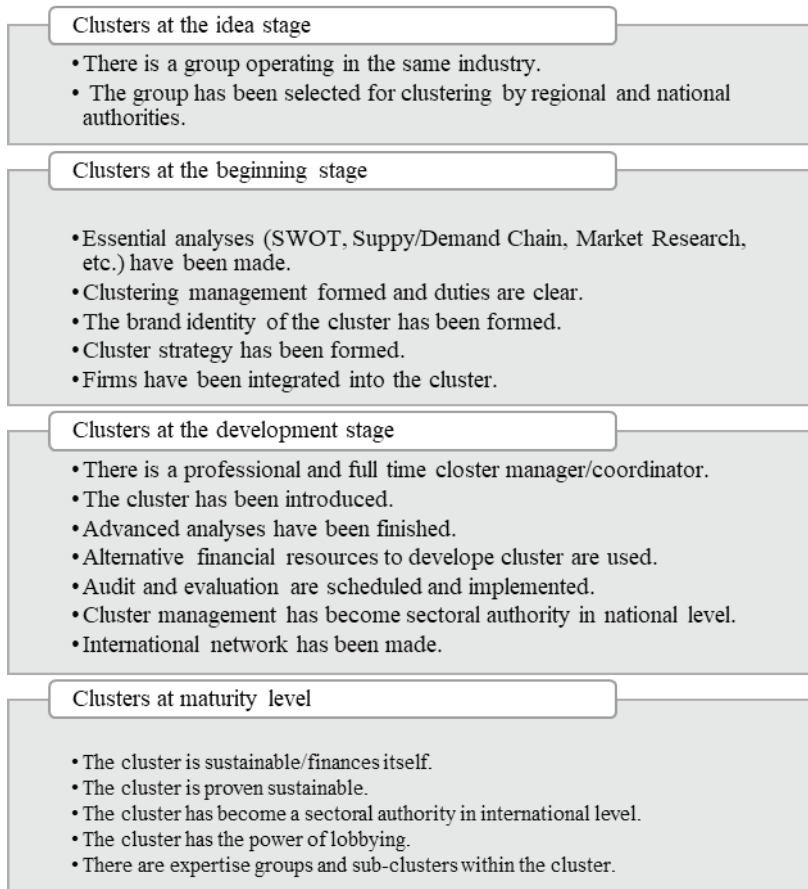
Another clustering example in Italy is in the furniture industry in the Manzano Region. The historical development of the industrial area, which specializes in chair manufacturing, dates back to the 20th century. Today, the sector has shown exceptional growth with the collaboration of designers and the increase in the use of technology. Cluster companies consist of micro-scale organizations that manufacture semi-finished products, medium-sized organizations that process semi-finished products and produce final products, and small-scale organizations that manufacture and market their products (URL-3).

As a good example showing the contribution of cooperation to the development of industry in Turkey, it would be suitable to mention Konya Şeker, a cooperative organization in which 900 thousand farmers are partners. Konya Şeker, which started production in 1954 and only sugar production was carried out, increased its product diversity and made significant progress with its collaborators under the name Torku Brand in 2007. The organization manufactured various food products such as chocolate, biscuits, Turkish delight, confectionery halva, meat, and dairy products under the Torku brand. It succeeded in delivering these products to the national and international markets. The organization meets a significant part of the supply of semi-finished products or raw materials such as flour, sugar, milk, and meat by producing its own.

### **2.3. Life Cycle of Clusters**

Clusters follow a life cycle with beginning, development, maturity, and decline (Menzel and Fornahl, 2010; Brenner, and Schlump, 2011). Accordingly, the cooperation between the companies in the region is dull at the beginning phase. At this stage, the public, universities, and research institutes act as the driving force. During the development period when the market considerably expands, collaboration, networks, and innovations are crucial. Market development is stabilized in the maturity era, and regional networking and cooperation activities are well established. The main difference of the decline stage is the reduction of the market areas.

A policy has been developed in Turkey, considering the studies mentioned above on the cluster life cycle. In the policy, clusters are divided into 4 phases: idea, beginning, development, and maturity (Figure 2). Thus, it became easier to follow the clustering trends in the country, and a roadmap for clustering development was revealed at each stage (BSTB, 2010).



*Figure 2. The development stages of clusters (BSTB, 2010).*

## 2.4. The Importance of Clustering

There are certain conditions that clusters must meet to be successful in manufacturing efficiency and technological innovations. One of these conditions is the transportation of the product and its ability to reach a broader market (Küçüker, 2012: 8, referring to Stanley and Schiele, 2002). Another condition is the increase in the number of complementary elements required to manufacture a finished product. Thus, specialization and competitiveness in the cluster will increase (with reference to Richardson 1972, Küçüker 2012: 8).

Clustering provides advantages in terms of both time and transportation costs by gathering the industrial organizations that support each other, a significant part of their suppliers, and related institutions and organizations in the same place. In addition, the fact that these organizations are gathered in an intended industrial area reduces costs.

Clusters make it easier for organizations to procure raw material, specialized resources, technology, R&D laboratories with their networking features. Thus, clusters improve productivity in organizations (Ceyhan and Özcan 2017).

Clustering builds a competitive environment and enables organizations to renew themselves in technology and attach importance to R&D and innovation activities.

In clusters, information exchange grows rapidly with the cooperation between organizations, and they contribute to each other's growth. In addition, clusters create a workforce pool in the location by enabling the training of a qualified workforce.

As the attractiveness of clusters increases, there is more migration from related companies to this location. In addition, companies that keep up with self-renewing technology enhance their scale, and employment increases. In this way, clusters contribute to developing the local economy and prevent the region's migration.

Industrial organizations working in clusters can unite under a brand name and gain advantages in purchasing raw materials and transportation costs. In addition, they enter the international market more efficiently with quality and well-promoted brand.

In the light of this information, organizations with higher competitive power in clusters depending on the factors mentioned above reach international markets more easily with original and high-quality products.

### 3. Potential Clusters in The Industrial Sector in Samsun

The results of the 3-star analysis carried out using the data on the number of firms according to the 4-digit code (industry branch) in Samsun are shown in Table 3 below. According to the number of firms in the industry, clusters with three stars are 8, two stars are 2, and one star is 10.

*Table 3. Three-star cluster analysis according to the number of firms in industrial branches in Samsun*

NACE Rev.2	Industry Branch	Star	Magnitude	Dominance	Specialization
<b>10.61</b>	Manufacture of milled cereals and vegetable products	***	3,77	0,18	273

10.39	Processing and storage of fruits and vegetables not classified elsewhere	***	1,61	0,11	116
16.10	Mowing and planting of trees	***	1,76	0,06	127
16.23	Manufacture of other building joinery and carpentry products	***	2,04	0,07	148
23.63	Ready-mixed concrete production	***	2,32	0,09	168
31.01	Manufacture of office furniture	***	1,63	0,07	118
31.02	Manufacture of kitchen furniture	***	2,56	0,08	185
32.50	Manufacture of medical and dental instruments and equipment	***	2,14	0,06	155

In Samsun’s industrial sector, sawing and planting of trees (lumber manufacturing), manufacturing of other building joinery and carpentry products, processing of fruits and vegetables not elsewhere classified (nut processing), manufacture of ground grain - vegetable products (flour and rice manufacturing), ready-mixed concrete production, kitchen, and office furniture production can be categorized as a potential cluster (Figure 3-4).

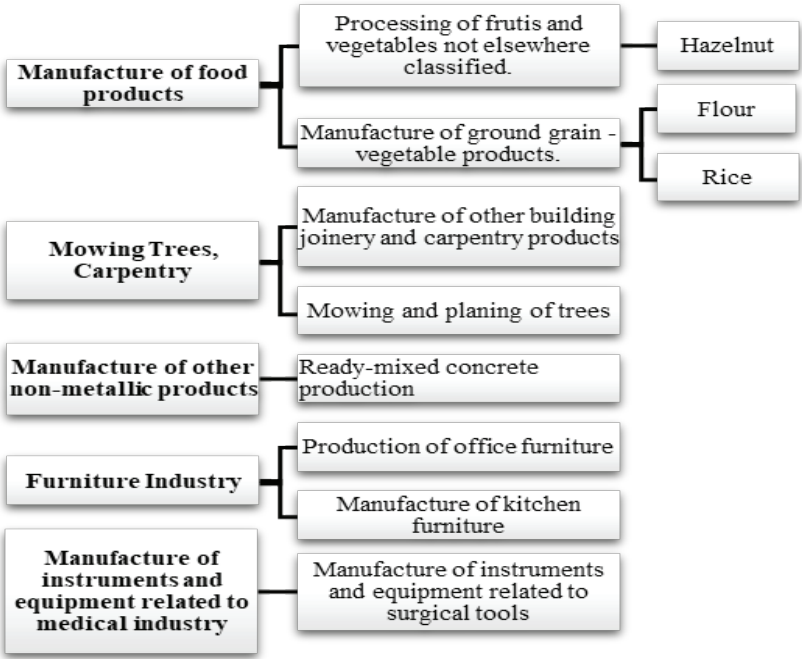


Figure 3. Sub-branches of industry branches showing clustering potential in Samsun

3.1. Hazelnut Processing

Samsun province ranks third (13,27%) among the provinces with the biggest hazelnut farms in Turkey (TUIK 2020). This allowed many

hazelnut factories to be opened on demand in Çarşamba and Terme, where hazelnut cultivation is the most, and hazelnut processing became one of the industrial branches with clustering potential in Samsun. However, although the factories come together in a close area, it cannot be said that the cooperation has improved much. In addition, industrial organizations are primarily engaged in hazelnut cracking and whitening activities, and the production of hazelnut-related products is limited. In this way, only semi-finished hazelnuts with low added value are exported.

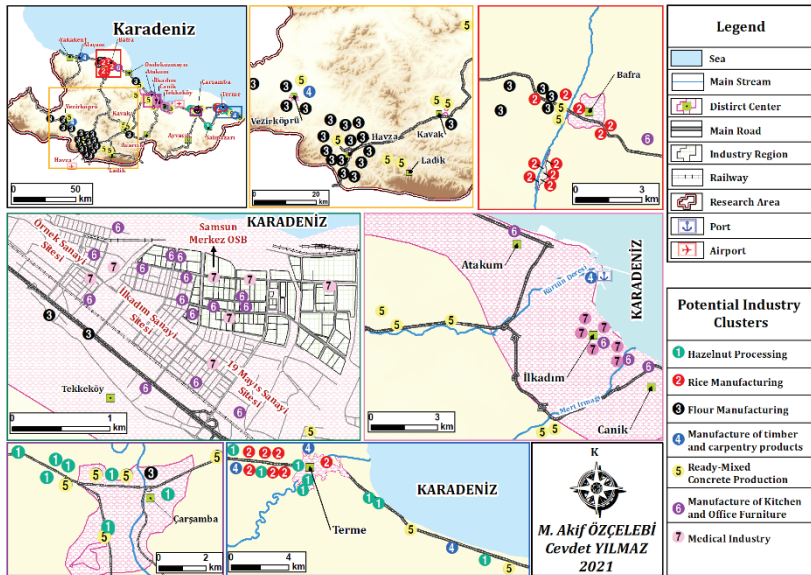


Figure 4. Potential Clusters in Samsun

### 3.2. Rice Manufacturing

Closeness to the raw material sources has been the principal factor in the fact that rice production in Samsun is one of the industrial branches with clustering potential. In fact, Samsun has the largest paddy production area in Turkey after Edirne. The rise in paddy production increased the demand for rice factories, and 17 rice factories were opened in Terme and Bafra. However, rice factories are composed of micro and small-scale organizations, and the weakness of cooperation between factories creates a disadvantage for the industry branch. In addition, the product goes through a single process in industrial organizations, and more value-added products such as rice flour are not produced. In addition, the prevalence of low-quality products is another negative aspect.

### 3.3. Flour Manufacturing

Wheat, the primary raw material of wheat flour, is the largest cereal plant in Samsun. The advantage of being close to the raw material source



enabled many businesses to produce flour in Samsun from the past to the present and played an essential role in making the industry a possible cluster.

In flour production, industrial establishments have come to the fore in Bafra, Vezirköprü, and Tekkeköy, especially in Havza. Cooperation in the field of activity, which mainly consists of micro and small-scale organizations, is almost non-existent. In addition, wheat undergoes a single process in the province, and no factories that manufacture more value-added products such as pasta and biscuits have been found. However, Ulusoy Un, which exports a significant amount in Turkey, has relatively improved its cooperation by contracting some flour factories in its vicinity.

### **3.4. Ready Mixed Concrete Production**

The market area of industrial establishments in the production of ready-mixed concrete is Samsun and its immediate surroundings. Therefore, although the industrial enterprise is seen as a potential cluster in the 3-star analysis, the market area remains limited locally or regionally. The cooperation between the companies that manufacture for the construction sector (mostly ready mixed concrete) is weak.

### **3.5. Manufacture of Timber and Other Building Joinery and Carpentry Products**

The majority of organizations operating in the manufacture of timber and other building joinery and carpentry products are micro-scale. Only Kastamonu Entegre and Vezirköprü Forestry products are large-scale organizations in the sector. These two organizations played an essential role in getting three stars for industry branches. Cooperation between organizations in industry branches is partially developed. For example, Kastamonu Entegre, a large-scale organization in Terme, cooperates with organizations with similar activities and supplies semi-finished products from them. In addition, raw materials are supplied from farmers growing poplar trees in Terme and from forests in the immediate vicinity.

### **3.6. Manufacture of Kitchen and Office Furniture**

21 industrial companies are operating in the production of kitchen furniture, and 13 industrial organizations in office furniture (TOBB 2020). Most of these organizations, which primarily appeal to Samsun and its surroundings, are small and micro-scale. There is little cooperation between organizations. Relations with organizations operating in the manufacture of wood and wood products are partially developed.



### **3.7. Manufacture of Medical and Dental Instruments and Equipment**

The medical industry offers the highest clustering potential in Samsun. As a matter of fact, Samsun ranks 3rd in the world in the manufacture of surgical instruments. Due to this potential, clustering studies in the medical industry were started in Samsun with the support of the state, and nearly 60 large-small organizations became Mediclust A.Ş. (90% of the shares of this company belong to Samsun Metropolitan Municipality). In addition, the organized industrial zone's infrastructure development that will gather medical industry companies in Bafra has been started.

The medical industry is at the beginning stage in the cluster life cycle. Although cooperation and innovative studies are in question in the industry, they are not sufficient.

Many factors have been influential in developing the medical industry and the high clustering potential in Samsun. One of them is the pool of workers in the industry, thanks to the industrial culture dating back to the past. Another factor is that some of those who previously worked as operators in medium-sized enterprises played an essential role in developing the industry by establishing their businesses. Thus, the existing industrial establishments and the newly established ones that did not break their ties increased the industry branch's clustering power. As a matter of fact, some medium-sized enterprises strengthen cooperation and stimulate the dissemination of information by outsourcing micro and small-scale enterprises. Although collaboration with health institutions in the industry is not sufficient, it is another crucial factor. As a matter of fact, in some cases, new products are developed by reaching a consensus with academicians.

### **Conclusion and Recommendations**

The clustering of industrial organizations, suppliers, and other actors (development agencies, municipalities, chambers of commerce and industry, universities, etc.) that multiply and cooperate is admitted worldwide. Related research has been carried out, and projects are developed. Thus, clustering studies have become a state policy by providing support to industrial sectors with potential.

Clustering allows the development of industry and the specialization of organizations in a particular field. In addition, clusters have an essential role in increasing the competitiveness of organizations, contributing to each other's development through information exchange, conducting R&D and innovation activities and entering the global market. Clusters, which also contribute to the development of the local economy, increase employment

possibilities and prevent regional migration. Therefore, local administrators should support sectors that show clustering potential in Samsun, such as flour and rice production, hazelnut processing, timber, building joinery and carpentry products, kitchen and office furniture manufacturing, ready-mixed concrete manufacturing, and surgical instruments manufacturing.

Hazelnut processing in Samsun is another sector with clustering potential. In the evaluation of this potential, the relevant administrators should take their place as principal actors. Establishing a state-supported company will be one of the crucial steps to ensure that companies are united under one roof. The establishment of hazelnut integrated facilities that will enable the production of hazelnut-related products should be another step, rather than marketing hazelnuts as semi-finished products. Besides, cooperation with farmers in the supply of raw materials is also essential.

The suggestions mentioned for clustering the hazelnut factories can also be applied to the rice industry. Indeed, advantages such as gathering rice factories in a planned industrial area and closeness to raw material sources increase the clustering power. In such a cluster, there will be an increase in the product variety, quality, and capacity of the companies, and the competitiveness of the companies increases.

Sectors that show clustering potential in Samsun can also be developed with the support of the state and together with their sub-industries to form integrity. For example, because the sugar factory in Samsun will be operational again soon, the existence of two medium-sized enterprises in dairy products, and the province's important place in hazelnut processing, flour, and rice production in Turkey, the cooperation that can be established between the fields of activity is of great importance. The number of factories producing chocolate, biscuits, ice cream, and confectionery in Samsun grows with this cooperation. This reflects positively on agricultural production and yield obtained from crops due to high demand. In addition, the competitive environment that will occur in the cluster and the constant renewal of organizations facilitate their opening to the global market. It also increases the attractiveness of development in the cluster and enables many companies to migrate there. However, the maturity of the cluster scenario mentioned above requires a long process.

Industry branches that support each other should be evaluated together in cluster studies. Developing cooperation with organizations in the manufacture of wood and wood products and the furniture industry will improve the clustering potential in the sectors. With this union to be built, organizations that develop primarily in the kitchen and office furniture in Samsun will supply their semi-finished products from companies in the immediate vicinity (operating in the manufacture of wood products). Some

organizations supply semi-finished products from Samsun, but due to the difference in quality and price, some companies also meet their needs outside the province or the country. However, with the increasing influence of the industry, this union will get stronger.

The development of clustering in the wood and furniture industry will increase the number of furniture designers who manufacture furniture textiles and profiles (from plastic and metal). For this, it is of great importance to work in cooperation with the local administration.

In Samsun, the medical industry has the highest clustering potential. Due to this potential, clustering studies in the sector have been started in Samsun with the support of the state. However, there are significant weaknesses in the sector. Accordingly, it cannot be said that R&D and innovation have developed adequately, mainly due to the lack of capital. For this reason, it is essential to establish research and development centers where companies can benefit mutually. The fact that companies with capital problems are trying to provide this with their means leads to both the disruption of the operations and the decrease in the competitiveness of the organizations with increasing costs.

Factors such as the supply of qualified labor in the medical industry, the high cost of importing high-quality raw materials, the random distribution of organizations in the industry, the inability of industrial facilities to grow horizontally due to lack of space, and the lack of capital make the competitive conditions of organizations hard. Besides, clustering studies in the sector are progressing very slowly. Accordingly, the relevant administrators should support the organizations in the sector to reduce the drawbacks in question, considering the contribution of the cluster to the development of the overall sector and the economy of Samsun.

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# Chapter 12

## CONDEMNED TO OBLIVION: EXCLUSION OF SUFIS IN THE *NAFAHĀT AL-UNS*

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Abd al-Rahman Jāmī's (d. 1492) biographical dictionary of Sufis, *Nafahāt al-Uns min Hadarāt al-Quds* is a text that quickly gained recognition in the Persophone world and retained its high status for centuries. It consists of more than 600 entries pertaining to lives, ideas or compositions of individual Sufis as well as information about Sufi genealogies. A thorough analysis of this text has considerably lagged behind although it has been used excessively by students of history, literature and Sufism for the precious information it contains. Ivanov's examination of the sources of the *Nafahāt* (Ivanov, 1922; 1923), Farzam's study of the relationship between Shāh Nemat Allāh-e Valī and Jāmī (Farzām, 1964) and Ökten's analysis of Jāmī's reformulation of Sufi history in *Nafahāt* (Ökten, 2007) can be considered as exceptions to this situation.

One of the major issues seems to be identifying the organizing principles in the *Nafahāt*. Some of the principles are more easily recognizable than others. For example, Jāmī explicitly states one of his principles: roughly the first half of the work is based on another biographical dictionary written almost four centuries ago, namely, *Tabaqat al-Sufiyya* of Abd Allāh al-Ansari (d. 1089), the renowned hadith scholar and Sufi of Herat, and the rest is Jāmī's update about the Sufi world bringing the work almost to his day. The next principle, which rather pertains to the latter half of the work, that is the Jāmī's addition of the later Sufis covering contemporary 15<sup>th</sup> century Sufis, too, also seems pretty straightforward. This section is more or less organized according to the orders Sufis belonged to. Thus, one sees the Kubravis, Chistis, Naqshbandis, Mawlawis, female Sufis, etc. grouped together. The function of poetry in the text, or analysis of concepts such as ilm-e tawhid and madhhab also promise to reveal some of the guiding principles in the *Nafahāt*.

The purpose of this article is expanding on another guiding principle in the *Nafahāt*: selective exclusion of certain individuals from the history of Sufism. This topic is dealt with earlier in the literature (Farzam, 1964; Mole, 1961; Ökten, 2007). Below, I will look at two examples: Jāmī's exclusion of Sayyid Muhammad Nurbakhsh (d. 1464), -the Timurid mahdi of the first half of the 15<sup>th</sup> century-, the discussion of which is based on the author's dissertation (Ökten, 2007), and the exclusion of Shāh Nemat Allāh-e Valī (d. 1431), the distinguished Sufi shaykh of the latter half of the 14<sup>th</sup>, first half of the 15<sup>th</sup> centuries. Since Farzam has already persuasively explained Jāmī's censoring of Nemat Allāh, here, I will attempt to bring a fresh insight by focusing on the text of the *Nafahāt* and suggest that Jāmī's entry on Nemat Allāh's Sufi master, 'Afīf al-dīn al-Yāfi'ī (d. 1367), speaks about Nemat Allāh and his exclusion from the *Nafahāt*. In both cases of exclusion, the pattern seems to be cutting the Sufi lineage off at the last uncontroversial character.

### Sayyid Muhammad Nurbakhsh

Sayyid Muhammad Nurbakhsh, the eponym of Nurbakhshiyya, was a follower of the Kubravi shaykh Ishaq Khuttalani (d. 1423). After having a vision Khuttalani declared Sayyid Muhammad Nurbakhsh as mahdī. Nurbakhsh assumed the title of mahdī (Messiah) and planned to revolt against the Timurids in the 1420s. When caught, he was sent to the capital, Herat, where the Shakhrukhid administration eventually decided to exile him. He revived his claims once more, got caught again, and was put in prison. He was freed only after Shāhrukh's death in 850/1447. He settled in Ray/Iran where he died (Algar, 1995b).

The exclusion of Sayyid Muhammad Nurbakhsh gives one a rare opportunity to observe how Jāmī's exclusion worked because in *Maqāmat-e Jāmī* Abd al-Vāsi-ye Bākharzī (d. 1503) preserved the account of this exclusion (Bākharzī, 1999, 195-196). According to Bākharzī, as Jāmī was composing the *Nafahāt* Shāh Qāsim Nurbakhsh (d. 1513), son of Sayyid Muhammad Nurbakhsh, requested Jāmī to include his father in the *Nafahāt*. Jāmī refused this request. Qāsim Nurbakhsh was not alone in this request as there were other people, namely, followers or sons of certain shaykhs, who asked Jāmī to write more on the Sufi they were affiliated with. Another, less lucky group were sons of certain prominent individuals who wanted their fathers to be included in *Nafahāt* to no avail.

Qāsim Nurbakhsh's formulation of the question why his father's account was not in *Nafahāt* reveals his perception of his father and Jāmī. At that point Qāsim Nurbakhsh did not see a problem between himself and Jāmī, so he could ask why Jāmī whose pen 'painted niceties and left traces of beauties' did not mention his father whose deeds astonished people. Jāmī replied to Qāsim Nurbakhsh that he saw Sayyid Muhammad Nurbakhsh in a significantly different light: Were he to convey what he had knew about him, Qāsim Nurbakhsh would not like it.

Jāmī said that his criterion for including a certain Sufi in the *Nafahāt* was first confirming the truth of an account about him, and this confirmation had to come from trustworthy leading disciples (*kibār-i khulafā*) (Bākharzī, 1999, 196). Of course, it was Jāmī who decided about one's trustworthiness. One can surmise that if Jāmī wanted to write something nice about Muhammad Nurbakhsh he could ask his son, and since he did not do that the son, Qāsim Nurbakhsh, was not a trustworthy source of information in his eyes.

In the above account it seems that Qāsim Nurbakhsh found it natural to request the inclusion of his father. Therefore, one may guess that Qāsim's image of his father was in fact the popular image of Sayyid Muhammad Nurbakhsh, and it was Jāmī who developed a new, negative

attitude towards him. This attitude makes sense considering the messianic claims of Nurbakhsh. As can be expected, Ishaq Khuttalani, Muhammad Nurbakhsh master who convinced his disciple to assume the role of mahdi, is not in the *Nafahāt*, too. Yet, Jāmī included Khuttalani's master Ali Hamadānī (d. 1385), -the charismatic Kubravi shaykh known for his excessive sympathy for Ahl-e Bayt, which earned him the title of Ali-ye Thānī-, in the *Nafahāt*. Jāmī simply cut the Khuttalani-Nurbakhsh branch out (Ökten, 2007, 177-180). Instead, the entries on Kubravi Sufis in the *Nafahāt* that follow the entry on Ali Hamadānī are mostly from Herat, -the foremost representative being a certain Sufi with the name of Bahā al-dīn Umar-, or surrounding regions such as Farah and Abardah. One can conclude that instead of the Khuttalani-Nurbakhsh line Jāmī included a Herat centered Kubravi branch.

Politically, this branch turned out to be in agreement with the Timurid establishment. By excluding Muhammad Nurbakhsh from the *Nafahāt*, Jāmī denied any possibility for messianism. Afterall, messianic movements with all their spiritual and worldly claims could potentially disturb the socio-political order, and they did not fit Jāmī's understanding of 'the acceptable' and 'the proper' Sufi way.

### **Shāh Nemat Allāh-e Valī**

As mentioned above, Muhammad Nurbakhsh was not the only figure who suffered from Jāmī's exclusion. Shāh Nemat Allāh-e Valī was one of the most influential Sufis of the 14<sup>th</sup> and 15<sup>th</sup> centuries. In both historical and relatively modern circles, he has been conceived as a Sufi with spiritually ambitious claims that amount to declaring himself as the mahdi. In contrast with this approach, Farzam asserted that it was rather the later Safavids who portrayed Nemat Allāh as someone who foresaw the rise of the Safavids and gave early news of a future Safavid mahdi. This was done by situating him in a tradition he did not belong to, even his poetry was amended by making later additions to his oeuvre (Farzām, 1969, 32, 38, 41-42). A closer look at Nemat Allāh reveals a Sunni Sufi with certain esoteric ideas. His ideas about valāya (sainthood) could easily be taken to imply authority, not only in the spiritual realm, but also in the worldly realm. Nevertheless, these ideas were not necessarily too far off to cause the condemnation of more sober Sufis. Still, Jāmī chose to ignore Nemat Allāh in *Nafahāt al-Uns*.

Born to a family of sayyids in Aleppo, 1330, Nemat Allāh probably spent his early years in western Iran. He received his education in Shiraz. At the age of 24 he went to the Pilgrimage, and met with the renowned Sufi master and scholar Abd Allāh b. As'ad al-Yāfi'ī whom he chose as his spiritual master (Kılıç, 2007). Nemat Allāh benefited considerably from al-

Yāfi'ī from whom he learned atvār-ı thalātha and usūl-e sitta (Vāiz, 1956, 279). At the end of a seven year period, al-Yāfi'ī appreciated Nemat Allāh's competence and granted him khilāfat (Vāiz, 1956, 292). After completing his Sufi training with al-Yāfi'ī Nemat Allāh visited Cairo where he met Husayn Akhlātī. There, Nemat Allāh started training disciples. Next, he visited Iraq, Iran, Adharbayjan and ended up in Transoxiana. In Central Asia he settled in Shahr-e sabz where he was especially influential over the Turcoman tribes (Kılıç, 2007). Allegedly, he was responsible for converting thousands of tribal Turcoman people.

Allegedly, certain Sufi figures of the time such as Amir Kulāl (d. 1370), a member of the Khwajagan and the master of Bahā al-dīn Naqshband (d. 1389), perceived his influence on the Turcoman tribes as a threat and presented the case to Timur (d. 1405) (Kermānī, 1956, 122). Timur met with Nemat Allāh, appreciated his spiritual, and possibly scholarly mastery, yet, still asked him to leave Mavaraannahr. Nemat Allāh first moved to Tus and Herat. The later part of his life was spent in southeastern Iran. Nemat Allāh's last dwelling place was in Mahan, Kerman. Since he spent an extended amount of time in Kerman he is also known as Nemat Allāh-e Kermani. He was a prolific writer who also composed poetry (Kılıç, 2007).

Algar finds the claim that Amir Kulāl complained about Nemat Allāh to Timur controversial noting that this information is not confirmed by other sources (Algar, 1995a). Considering that Amir Kulāl died 1370, their meeting must have occurred at the initial stage of Timur's career, if it did occur. Regardless, he must have found more comfort in the Kerman area, far away from Timurid bases of power in Samarqand and Herat.

### **Nemat Allāh's ideas: khatam al-valāya and the mahdi**

Two ideas of Nemat Allāh, khatam al-valāya and the concept of mahdi, are relevant for the discussion here because they grant one a supreme spiritual and political position. The idea of khatam al-valāya comes from Ibn al-Arabī (d. 1240). According to Ibn al-Arabī, Prophet Muhammad (d. 632) was the culmination of prophets sent by God. Based on this, Ibn al-Arabī designated Prophet Muhammad as the khatam (seal) of prophethood (nubuvva), and then inferred that in the same way there was a seal in sainthood (valāya), too. This seal Ibn al-Arabī identified as himself. The idea of a seal in valāya seems to have spread after Ibn al-Arabī, and Nemat Allāh also adopted the idea. In the section on the seal of saints Nemat Allāh claimed to have valāya (Farzām, 1969, 5). Nemat Allāh's poetry is also rich in terms of references to his valāya (Farzām, 1969, 15). Valāya according to the Nemat Allāh meant two things: first, being chosen by God, and second, being divinely assigned with the task of guiding people to the right path

(hidaya) (Hamīd Farzām, 1969, 5). Behind this claim of Nemat Allāh there were a few assumptions. According to him, he could claim valāya because he was guided to it by the Bestower (Vahhāb), he had a share from the fountain of divine favor (‘ayn-e ināyat), and the pole of the poles (qutb al-aqtāb), the most supreme spiritual human being in the entire universe, instructed him [in divine matters] (Farzām, 1969, 17). Since Nemat Allāh gives an explanation of his valāya based on his spiritual relationship with Ibn al-Arabī who was further related to the Prophet (Farzām, 1969, 14), one is led to think that it was Ibn al-Arabī whom Nemat Allāh recognized as the pole of the poles.

It is when Nemat Allāh declared himself as the seal of saints the issue of Nemat Allāh’s mahdship arose. According to some of his contemporaries, this meant declaring his mahdship. Elements of shathiyat present in Nemat Allāh’s poetry (Farzām, 1969, 18-20) must have made it easier to see him in this light.

Before proceeding to a discussion of the issue of mahdi, the title of shāh also deserves attention. Farzam gives the definition of shāh as used by Nemat Allāh as “manifest and hidden rule and governance of the pole over his disciples” (sultanat u hukumat-e zahiri u batini-ye aqtab nisbat ba muridān) (Farzām, 1969, 21). Although Farzam’s interpretation of Nemat Allāh’s couplets that convey the above notion of shāh is not beyond controversy, the fact that Nemat Allāh adopted the title of shāh supports the idea that Nemat Allāh did claim some sort of an authority converging on worldly rule. Even if there seems to be a certain degree of uncertainty about whether it was him or others who conferred this title, one can say that Nemat Allāh became known with this title during his lifetime (Farzām, 1969, 21, 23).

Nemat Allāh’s oeuvre mentions the concept of mahdi and he has a treatise dedicated to the issue entitled *Risāla-ye Mahdiyya* (Nemat Allāh-e Vali, 1969). This treatise is basically a list of the attributes of the mahdi as found in the traditions of the Prophet. Although very instructive for recognizing the mahdi and the timing of his arrival, this is not quite an original work. Works with similar content have been written throughout the Islamic history. A rather interesting treatment of the mahdi is found in a few couplets of his famous poem that ends with the rhyme ‘mī-bīnam’. Based on this poem, the treatise on mahdi, and possibly on other poems that contained shathiyat, scholars have suggested that Nemat Allāh claimed mahdship (Farzām, 1969, 24), and consequently, Timur asked him to leave Transoxiana.

Here, I will focus on this poem since it stands out as the more original piece. Looking more closely at how Nemat Allāh dealt with the figure of

the mahdi, one can say that he thought that the appearance of the mahdi was not imminent, although the influence of the mahdi was real. This influence was carried by a new figure whom Nemat Allāh invented: ‘the deputy of the mahdi (nāib-e mahdi). The couplet in question is: Nāib-e Mahdi āshikar shavad / balka man āshikar mī-bīnam (Farzām, 1969, 36). There are two noteworthy assertions in this couplet. First, Nemat Allāh announced that the deputy of the Mahdi appeared. Probably, he was not yet known publicly, but he was clearly there, since Nemat Allāh said that he saw him in plain sight. One can infer that if the deputy was present, the represented figure, the Mahdi, should not be far away. This strategy of Nemat Allāh was a middle ground solution: the Mahdi was not present in person, yet, but he was also not a distant figure.

An attempt to distance oneself from the idea of an imminent mahdi can also be observed in certain titles Nemat Allāh used to refer to himself. He carefully called himself ‘hādi’ (guide) or ‘Rahnumā-ye khalq’ (the guide of people). Thus, Nemat Allāh recognized a special, elevated position for himself in the spiritual world but this was not exactly the position of the mahdi. He carefully stood away from claims of mahdship trying to find middle ground (Farzām, 1969, 27, 28). Therefore, arguments that favor Nemat Allāh’s messianism seem to be far-fetched.

### Points of convergence between Nemat Allāh and Jāmī

To understand the dynamics of Jāmī’s exclusion of Nemat Allāh without staying under the influence of later historical traditions it is useful to examine the points of intellectual convergence between the two. This takes us to a brief discussion of certain concepts shared by the two.

A concept that is used by both Sufis is the concept of “silsilat al-dhahab” (golden chain). Nemat Allāh used this concept in his works when he gave his Sufi genealogy mentioning al-Yāfi’ī (Kermānī, 1956, 54). Jāmī composed three mathnavis using the same title and specifically put the emphasis on the spiritual genealogy that went back to Abu Bakr (d. 634), the companion of the Prophet, when he used the term. Taking into account the fact that Muhammad Nurbakhsh, the above mentioned mahdi of the 1420’s, wrote a work entitled *Silsilat al-dhahab*, it is possible to argue that the concept was in circulation and people defined it according to their needs. It seems that of the three authors it was Jāmī who put the most emphasis on that concept by composing a series of works with that title.

Although Jāmī’s exposition of silsilat al-dhahab seems to be the most popular of these three Sufis retrospectively, one should also note that these works were read in different circles and each circle had its favorite works/authors. One can explain the seemingly higher popularity of Jāmī’s *Silsilat al-dhahab* through the efficiency of the Naqshbandiyya network in



producing and transferring works. Perhaps, one can also suggest that while Jāmī redefined silsilat al-dhahab conceptually in his mathnavis, he used the *Nafahāt* to practically remold silsilat al-dhahab within the framework of larger Sufi history. May be this was one of the functions of the text.

In the works of Nemat Allāh there does not seem to be a particular point that is fundamentally in opposition to what Jāmī proposed in his works. May be rather than an intellectual disagreement one should emphasize the implications of both men's Sufi practice, and relationship with politics. The poetry of Nemat Allāh occasionally depicts him as one with God but this is not unprecedented neither in the Sufi circles nor in poetic convention. The Sufi intellectual treatises exhibit an abundance of concepts shared by the two (lavāmi, lavāyih, silsilat al-dhahab, etc.). Their emphasis on (vahdat al-)vujud and 'ashq also constitute a point on which they show accord rather than disagreement. One can also examine those concepts not so much shared by the two. Nemat Allāh, for example, exhibits a penchant for the concept of 'rind' whereas Jāmī's usage of it remains modest by comparison. A full conceptual comparison between Nemat Allāh and Jāmī would be definitely fruitful for showing the different types of Sufi approaches the two masters developed, yet, it is beyond the scope of this paper.

The above discussion leads to the question of whether the above points of contradiction between Nemat Allāh and Jāmī are significant enough to justify Jāmī's absolute silence on Nemat Allāh. Especially, given Nemat Allāh's relationship to al-Yāfi'ī it should have been harder to challenge Nemat Allāh's Sufi credentials. So, why omit? Farzam gives three reasons for why Jāmī left Nemat Allāh out in the *Nafahāt*: 1-Timur perceived a threat from Nemat Allāh, 2- Nemat Allāh targeted the early Naqshbandiyya openly. 3- Nemat Allāh's and Jāmī's conceptions (mashrab) of tasawwuf were different from one another (H. Farzām, 1964, 55-57; Farzam, 1969, 54). The above discussion asserted that one can talk about their similarities as well as their differences. It seems that their differences got amplified due to certain historical circumstances.

### Historical context

One can start an analysis of the historical circumstances from the way Nemat Allāh deals with the concept of mahdi. As mentioned above, rather than talking about the Mahdi Nemat Allāh talked about 'the deputy of the mahdi'. He said that the deputy of the Mahdi was a knowledgeable king whose reign Nemat Allāh had been observing for forty years. As the time of this deputy king was coming to an end his son was about to take over as the next imam. Nemat Allāh treated this king and his son as if they were specific individuals. If this is the case a likely candidate could be

the Kartid ruler Mo‘ezz al-dīn b. Giyāth al-dīn who accessed the throne in Herat in 732/1331-32 and died after a reign of forty years in 772/1370-71. He was succeeded by his son Giyāth al-dīn Pīr Ali (Spuler, 2011). Thus, early 1370s seem to be a quite suitable date for the composition of this poem, perhaps more so than any other period considering the political and social circumstances of the time.

Around the early 1370s there were three other significant religio-political movements across the Transoxiana-Khurasan region: the Sarbadars, a nascent Hurufi movement represented by Fazl Allāh Astarābādī (d. 1394) and Timur’s enterprise. At the time Nemat Allāh was writing the Sarbadar movement was in full swing with its messianic aspirations in an area that stretched from Samarqand to the south of the Caspian Sea. Nemat Allāh might have felt the need to have his word out in a socio-political and intellectual discourse in which the idea of mahdi prevailed. By defining a ‘deputy of the mahdi’ Nemat Allah could counterbalance the Sarbadar conception of mahdi.

Fazl Allāh Astarābādī, the future charismatic Hurufi leader from Astarābād -a Sarbadar center, first rose to prominence when he settled in Isfahan in 1371 and started interpreting dreams, thus, drawing a significant following around himself from all the echelons of the society. He gathered tens of thousands of followers all over Iran in the next couple of decades some of whom believed in his mahdiship. The question of whether Nemat Allāh ever responded to ideas propagated by Fazl Allāh still awaits an answer but it is hard to ignore the fact that these two men were members of a shared intellectual environment.

As for Timur, he had just ascended the throne of Samarqand in 1370 sealing his rulership over Transoxiana. Until then, Timur did not really draw attention as a political figure other than within the context of tribal politics. There does not seem to be any particular reason why he should have drawn Nemat Allāh’s attention prior to 1370. Therefore, it is expectable that Nemat Allāh reserved the position of the deputy of the mahdi for another ruler who came from a well-established local dynasty such as the Karts.

This line of thinking also suggests the possibility that this poem of Nemat Allāh’s reflects the tension between him and Timur. By attributing this position to another ruler of the time Nemat Allāh declared his ranking of contemporary rulers, and Timur was not at the top. It is conceivable that writing a century later, Jāmī remembered this rift between Nemat Allāh and the Timurid dynasty, and as a member of the Timurid order, treated him accordingly.

From another perspective, one can go back to Nemat Allāh’s biography



and evaluate the issue of Nemat Allāh's position vis-à-vis mahdism in terms of the certain social structures in Transoxiana and Khurasan. In Nemat Allāh's biography one sees that the decisive reaction comes from Amir Kulāl, a native of Bukhara, a city traditionally known for its history of scholarship on Islamic law. One of the claims made by Nemat Allāh in his treatise about the mahdi was that the conflicts among the mujtahids would disappear upon the arrival of the Mahdi and (all the) madhhabs would be elevated (of course, bid'a will also be uprooted) (Nemat Allāh-e Vali, 1969, 65). As a center of Hanafi madhhab that produced an abundant number of mujtahids throughout history, Bukhara would not be one of the most receptive centers to these claims of Nemat Allāh. If one considers the Sufi history of the city, perhaps the most prominent Sufi the city has ever produced, Bahā al-dīn Naqshband who was a disciple of Amir Kulāl, remains on the conservative, or less esoteric side of the Sufi spectrum. Thus, it is feasible to suggest that the Nemat Allāh's idea of mahdi was received in various ways in different places. Perhaps, that was the reason why Nemat Allāh receded to southeastern Iran, one of the politically less volatile areas of Iran, when he was expelled from Transoxiana.

In a similar manner, one can suggest that had Jāmī not been in Herat, his treatment of Nemat Allāh could be different. Shāhrukh, Timur's successor in Herat, did not show a favorable approach to figures like Nemat Allāh. Subtelny argues that the rising Sunnism of Shāhrukh's times was a well-planned reaction to a number of ideological or political challenges. After the assassination attempt against Shāhrukh in 1427, allegedly organized by the Hurufis, persecution of the Hurufis became official policy and movements with messianic claims became unacceptable. According to Subtelny, Shāhrukh felt the need for a legitimate ideological basis while centralizing his empire, and his solution was coming up with a program of 'return to Islam' (Subtelny, 1994, 380, 383). Shāhrukh's program consisted of the following steps: building two madrasas in the name of his wife and himself where an appropriate curriculum would be followed, adopting certain titles such as 'caliph' and 'mujaddid', and promoting the shrine of Abd Allāh al-Ansarī, the well-known Hanbali Sufi of the 11<sup>th</sup> century who almost came to be the patron saint of Herat.

The reign of Shāhrukh covers almost the entire first half of the 15<sup>th</sup> century. As a figure whose intellectual formation took place within the Shāhrukhid order, Jāmī sided with the Timurid establishment. From the death of Shāhrukh in 1447 to the enthronement of Sultan Husayn Bayqara in 1469 there is a gap in intellectual history: it is not clear how movements and intellectuals challenging the socio-political order evolved. One can assume that at least some of the vestiges of the rather Shāhrukhid order continued. The initial moments of Sultan Husayn Bayqara's reign is well-

known for an attempt to allow the Shii section of the population to wield more influence in the socio-political arena by introducing the Twelve Imams into the khutba, an attempt which was immediately reversed thanks to the efforts of Jāmī and others. It seems safe to suggest that Jāmī's decision to omit Shāh Nemat Allāh-e Valī came about in this historical context in which the Timurid reaction to Nemat Allāh and the ideological position he was associated with continued, even if Nemat Allāh and figures like him found wide following in the society.

### **Constructing history: Al-Yāfi'ī in the *Nafahāt***

Above I have tried to show why Nemat Allāh was omitted. The question of 'how' Jāmī omitted him is also a pertinent question. I suggest that Jāmī's treatment of al-Yāfi'ī can shed light on his omission of Nemat Allāh.

The sources on Nemat Allāh clearly make the point that the genealogical pedigree of Shāh Nemat Allāh-e Valī was sound. Nemat Allāh received khirqa from al-Yāfi'ī who himself had received khirqa from six shaykhs (Kermānī, 1956, 57). Counting Shāh Nemat Allāh, too, the number of people in the process of khirqa authorization amounts to seven, presumably pointing at some kind of a number symbolism. Leaving that aside, the sufi genealogies of these teachers included individuals such as Junayd-e Baghdādī (d. 909), Abd al-Qādir Gilānī (d. 1165), Najm al-dīn Kubrā (d. 1221) and Muhyī al-dīn Ibn al-Arabī (d. 1240) (Kermani, 1956, 56-62). Nemat Allāh's silsila also reached back to Hasan-e Basrī (d. 728) and Ahmad Ghazālī (d. 1126) and (H. Farzām, 1964, 52, 53).

Being the disciple of al-Yāfi'ī turns out to be the most critical qualification of Nemat Allāh in terms of lineage. Nemat Allāh himself said that he met many other people before al-Yāfi'ī, and in comparison with them he found himself like the sea and the others like a drop. Yet, with al-Yāfi'ī the opposite was true: Nemat Allāh thought that al-Yāfi'ī was the sea and himself was a drop (Mufīd, 1956, 162, 163). Whereas Nemat Allāh did not consider becoming a disciple to these earlier shaykhs, he took al-Yāfi'ī as this spiritual master (Vāiz, 1956, 292). Thus, the account of Nemat Allāh's initiation into Sufism turns the spotlight on al-Yāfi'ī.

Since Jāmī omits Nemat Allāh and the Sufi tradition that developed around him altogether, it is not possible to comment on what Jāmī thought about the relationship between Nemat Allāh and al-Yāfi'ī. Nevertheless, his exposition of al-Yāfi'ī in the *Nafahāt* is suggestive within the context of his omission of Nemat Allāh.

### **Interpreting the entry about al-Yāfi'ī in the *Nafahāt***

The entry on al-Yāfi'ī starts with a brief description: al-Yāfi'ī was one of the great shaykhs, he was knowledgeable in exoteric and esoteric

sciences, and he authored *Tarikh Mirat al-Janan wa Ibrat al-Yaqzan fi Marifat al-Havadis al-Zaman*, *Kitab Ravd al-Rayyahin fi Hikayat al-Salihin*, and *Kitab al-Durr al-Nazim fi Fadail al-Quran al-Azim*. He also composed beautiful poetry (Jāmī, 2015, 582). There are two points to examine pertaining to the entry on al-Yāfi'ī in the *Nafahāt*: the contents of the entry and the position of the entry in the entire text of the *Nafahāt*. These reflect Jāmī's perception of al-Yāfi'ī.

Jāmī's picture of al-Yāfi'ī in the *Nafahāt* draws heavily on two anecdotes. These anecdotes are conveyed by a certain Shaykh Ala al-dīn Khwarazmi to whom Jāmī dedicates the entry prior to the entry on al-Yāfi'ī. Despite his brief appearance in the *Nafahāt* al-Khwarazmi must have been a reliable witness in the eyes of Jāmī since, as mentioned above, Jāmī was sensitive about the reliability of his sources. The only other place where Al-Khwarazmi gets mentioned in the *Nafahāt* is the following entry on al-Yāfi'ī from which one learns that the two were companions (sahib) (Jāmī, 2015, 582-584).

According to the first anecdote, one evening, after the prayer, Ala al-dīn Khwarazmi went into isolation (khalwat) in a room locked from the inside (Jāmī, 2015, 583). He noticed that there were two other men in the room. Three of them started having a conversation. At a certain point, the men told al-Khwarazmi to tell their greeting to his companion al-Yāfi'ī. When al-Khwarazmi asked how they knew about al-Yāfi'ī, -given that al-Yāfi'ī was in Hijaz-, they replied that for them, this was not a reason to not know al-Yāfi'ī. As they got up and moved towards the mihrab, al-Khwarazmi thought they would pray. Instead, they went through the wall and disappeared.

In the second anecdote which took place in Rajab 742, at a location along the Syrian coast, Shaykh Ala al-dīn Khwarazmi was again in khalwat when two Sufis (pir) came into his chamber after the afternoon prayer (Jāmī, 2015, 583, 584). Al-Khwarazmi did not know them. After greeting him al-Khwarazmi asked where they came from. In surprise they asked how someone like al-Khwarazmi could ask such a question. Then, al-Khwarazmi asked about why they came. They replied that their purpose was to assign al-Khwarazmi with the task of taking their greeting to al-Yāfi'ī and giving him glad tidings. When al-Khwarazmi asked where they had met al-Yāfi'ī, they told him that they had reached out to him and he had reached out to them. When al-Khwarazmi questioned whether they had (the divine) permission to assign him with the task of bringing glad tidings to al-Yāfi'ī they replied positively. Then, they performed dhikr in the manner of eastern Sufis and disappeared.

Here, Jāmī's promotion of Abd Allāh al-Khwarazmi as the authoritative

source about al-Yāfi'ī is noteworthy. This means neglecting Nemat Allāh, possibly his most influential disciple, as a source on al-Yāfi'ī. Perhaps more significant is the contrast that these anecdotes create between al-Yāfi'ī and Nemat Allāh. In the anecdotes both al-Yāfi'ī and al-Khwarazmi appear as figures who have access to agents from the spiritual realm effortlessly. This may be an indirect response to Nemat Allāh's claims to valāya: whereas Nemat Allāh, the disciple, had to make a case for sainthood, individuals from the unseen realm found al-Yāfi'ī.

Within that perspective, the story of al-Yāfi'ī choosing the Sufi path also makes sense. At the beginning of his spiritual quest al-Yāfi'ī was hesitant about whether choosing a career in scholarship or taking the Sufi path. He happened to have a book with him which he studied day and night (Jāmī, 2015, 584). One day, among the tribulations of which path to take, al-Yāfi'ī started perusing the book and suddenly came across several couplets which he had never seen before. These couplets stated that he should leave his affair in God's hands. After reading these verses al-Yāfi'ī's anxiety was completely gone. One can say that even at the initial stage of the Sufi path al-Yāfi'ī was supported almost miraculously whereas Nemat Allāh happened to visit many shaykhs before finding his spiritual guide.

Another point that deserves attention is al-Yāfi'ī's position within the text of the *Nafahāt*. As stated above, Jāmī occasionally ordered individuals based on their association with a certain order or movement. For example, Jāmī lumped together female Sufis as the last group. Poet Sufis came as the second to last group in the *Nafahāt* and it contained figures like Attar, Fakhr al-dīn Iraqi, Khusrav-e Dahlavi, etc. Al-Yāfi'ī turns out to be the beginning of the group of poet Sufis because with him Jāmī starts either mentioning or quoting poetry constantly in his entries. Jāmī does not quote al-Yāfi'ī's poetry but says that he had written beautiful poetry. It seems that al-Yāfi'ī's poetry did not rise to the status of poetic canon, nevertheless, even a quick look into his history, *Tarikh Merat al-Janan*, indicates how central poetry was to al-Yāfi'ī's thoughts, and Jāmī was well aware of that.

Speculatively, one can suggest that not including Nemat Allāh in the *Nafahāt* denied him not only a status among the Sufis but also among the poets, too. It is hard to tell which one is worse. Regardless, this must be a particularly heavy sentence for a figure like Shāh Nemat Allāh who was well-known for his verse. Both Jāmī and Nemat Allāh were masters of the poetical discourse and not counting Nemat Allāh among the poets meant denying him the (poetical) space to exist.

### Conclusion

Although movements based on messianism or Sufi concepts such as valāya and khatam al-valāya found many followers in the Timurid realms

in 14<sup>th</sup> and 15<sup>th</sup> centuries the Timurid official establishment consistently kept a certain distance between itself and such movements. Specifically, the formulation of a new Sunnism, a process which started under Shāhrukh, was one of the major reactions shown against these movements. Within this framework, it can be suggested that Jāmī contributed to this process with the *Nafahāt*. Surrounded by several religious and intellectual movements, Jāmī's most significant achievement in the latter half of the 1470s was shaping the religious and intellectual landscape through the composition of the *Nafahāt*. In it, Jāmī excluded certain religious and spiritual traditions from his version of religious history. The discussion above examined the exclusion of Sayyid Muhammad Nurbakhsh and Shāh Nemat Allāh-e Valī.

Jāmī excluded Sayyid Muhammad Nurbakhsh because of his messianic claims. His exclusion of Shāh Nemat Allāh-e Valī is harder to explain since Nemat Allāh did not have equally powerful claims. In his case, historical circumstances such as not prioritizing Timur over the other rulers, or varying reception of Nemat Allāh's ideas in various localities seemed to be more explanatory. In both cases the method Jāmī used for exclusion was following a Sufi lineage up until the last controversial figure in the lineage, and then omitting the problematic figures even if they were significant figures in the history of Sufism.

At this juncture one can also suggest that what Jāmī did was not simply omitting individuals. It was omitting an entire discourse imbued with messianism. Anyone who could somehow be associated with a messianic discourse was left out.

This perspective makes the figure of al-Yāfi'ī further meaningful. Al-Yāfi'ī seems to be not only the figure through which Jāmī cut out both Nemat Allāh-e Valī and the Sufi order that continued after him, but he is representative of a certain type of Sufi discourse approved by Jāmī. A research question that emerges from here is the following: What are the major Sufi discourses with which Jāmī constructs his biographical dictionary, or history? The *Nafahāt* manifests one such discourse immediately: type of Sufism represented by Abd Allāh al-Ansari. Others await to be discovered, like that of al-Yāfi'ī. The benefit of working on such discourses is that it can direct research towards the direction of another major issue to analyze the *Nafahāt*, namely, the issue of guiding principles in the composition of the *Nafahāt*.

Finally, how Jāmī situated al-Yāfi'ī in the *Nafahāt* suggests that Jāmī condemned Nemat Allāh to oblivion as a poet, too. This may be taken as a good reminder of the fact that poetry looms behind most of the major issues intellectual historians tackle with, and it should not be omitted.

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# Chapter 13

## **FACULTY MEMBER CONVERSATIONS DURING CURRICULUM REFORM: THE CASE STUDY OF A STATE UNIVERSITY IN TURKEY**

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## Introduction

Universities are currently facing the challenge of aligning their research functions and curricula with current job requirements and trends (Bengu et al., 2020). Students demand the chance to develop their competencies by combining theoretical knowledge with hands-on learning to tackle real-world problems. In addition, recent developments in technology, emerging expectations in social life skills, and youth employability requirements call for a change in traditional teaching and learning methods (Malik, 2018; Klofsten et al., 2019). These changes necessitate a new type of curriculum where instructors are equipped with instructional design, project management, and coaching competencies (Bengu et al., 2020). They are expected to provide suitable learning environments where students can realize their full potentials to become self-directed learners (Bengu et al., 2020; Sampson et al., 2010; Robinson & Persky, 2020).

The implementation of this new learner-centered curriculum requires an educational transformation whereby academics must acquire new teaching and learning skills and competencies. In order to meet the expectations of this transformation and realize the curriculum change, the academics may engage in conversations. These conversations may also serve as tools to the adaptation of a bottom-up approach especially in top-down cultural academic settings. In addition, they are the developmental vehicles for mid-career or senior academics and training and socialization opportunities for early-career academics (Austin, 2002).

This becomes particularly significant when the higher education context such as the one in Turkey is centralized and rules, procedures, and policies are disseminated from above. Within such a system, the academic culture is vertically hierarchical reflecting a culture of the power of seniority over collegial relationships. Thus, faculty development and academic training are usually top-down. In such an environment, the role of conversations as agents of horizontal collegiality, bottom-up community-building, and academic development acquires critical significance. This is especially true if the institution is relatively young and, on their way to building their own contextual culture.

Thus, the aim of this study is to analyze the nature and structure of the conversations that took place between academics in one department at a young Turkish state university as it introduced a new competency-based curriculum aiming to close its graduates' skills gap and better meet employers' expectations. Even though the framework and the design of this new curriculum are worth exploring, it is beyond the scope of this chapter, but the details of this new curricular design can be found in Bengu et al. (2020).

The study also unpacks the benefits and challenges of these conversations, the ways in which they influence the teaching and learning practices of academics and shape a new decentralized culture within a centralized higher education tradition.

### **Literature Review**

This section provides a review of the literature on the types and nature of conversations and their impact on teaching and learning practices as a tool for educational change.

#### ***Definition and types of conversations***

Conversations are described as ‘The speaking and listening that goes on between and among people and their many forms of expression in talking, singing, dancing, etc. ...’ (Ford, 1999, p. 484). If we take institutions to be networks of conversations, there are then several conversations which take place in a both simultaneous and sequential way (Ford, 1999).

Most of the educational activities, as Villar-Gulh (2020) also mentions, are usually organized by means of conversations. Jenlink and Carr-Chellman (1996) defined four types of conversations that happen in educational settings: Discussion, dialectic, dialogue, and design. **Discussion** is taken as the common form of conversation. The individual subjectivity is the focal point. The idea sharing exists however, individuals judge others’ perceptions and may not be able to exceed their own ideas. **Dialectic** conversation is defined as a scientific approach and has shown the characteristics of closed mindedness towards change where participants ‘debate for what they perceive as truths’ (p. 32). **Dialogue** conversation is ‘a community-building form of conversation’ (p. 33). It recognizes, honors and values all voices and respects diversity. Consciousness is created by the conversation and ‘transforms the members into a community’ (p. 34). Accordingly, dialogue can be used as a tool that forms a new language where participants’ mindsets change from ‘a traditional individual advocacy to a community consciousness’ (p. 34). This community consciousness is necessary for the creation of the new. Jenlink and Carr-Chellman (1996) observed that the process of creating something new is intervened with **design conversations** which are a necessity for the change to take place. Thus, dialogue conversation builds a respectful community where design conversations transcend the current system.

For change to take place, new actions out of the conversations should occur simultaneously (Ford, 1999; Hazen, 1994). During conversations, new actions occur if people are willing to listen to each other and speak eagerly (Ford, 1999; Hazen, 1994). For change to be sustainable, conditions for mutual respect and a suitable environment that enables free discussion

should be created (Ford 1999).

### *Conversations as a tool for change*

Marshall (2010, as cited in Bond & Blevins, 2019) emphasized that change in institutions tends to be slow and are usually met by resistance from academics. In the process of change, such as new teaching practices, Saunders et al., (1992) talk about two challenges: ‘(1) conceptualizing appropriate instructional practices and (2) assisting teachers to develop the skills needed to implement them’ (p. 199). To overcome challenges such as these mentioned above Dashborough et al. (2015) emphasized the importance of involving academics to reduce negative attitudes towards change.

In the 1990s, conversations were used as a tool for change for professional learning and to build a new set of skills for instruction (Beckhard & Pritchard, 1992; Kotter, 1990; Saunders et al., 1992). Both Gallimore (1990) and Saunders et al. (1992) emphasized the importance of faculty involvement and development when there is a new change in instruction or curriculum. If there is a need for an instructional reform, a review of the relevant literature (e.g., Bens et al., 2020) supports that the engagement of the academics provides preparation for early careers in addition to lifelong learning for mid-career and/or senior academics, which resulted in socialization for all parties.

Saunders et al. (1992) stated that for professional development to take place, instructors should engage in instructional conversations to address and solve problems with other instructors. Horn et al. (2017) further developed a taxonomy to understand the various types of conversations and found that collaboration between instructors enhances their professional learning and development. Vescio et al. (2008) found a positive impact on student success when that collaboration is on specific content and focuses on student learning. In collective environments, instructors can also re-evaluate themselves more easily and thoroughly according to Vescio et al. (2008). In 2018, Thomson and Trigwell also found that the conversations between mid-career academics on a specific topic helps them restructure and improve their teaching practice. They view conversations related to teaching as opportunities for personal and professional development.

It can be said that since the 1990s conversations have been used as a tool for staff development to create a positive impact on academics’ attitude towards teaching as well (White & Anderson, 2012). However, for conversations to have a positive effect on change, these conversations should have certain characteristics: **(1) Conversations should not be a one-time thing.** They should be continuous as emphasized by White and Anderson (2012), related to instructors’ daily tasks, and integrated with

curriculum and learning objectives for the development of ambitious instruction (Andrews-Larson et al., 2017). **(2) Conversations should offer academics time to collaborate on specific content.** Garet et al. (2001) found that this type of collaboration improved instructors' knowledge and skills, which Andrews-Larson et al. (2017) affirmed by arguing that regularly scheduled time for content-specific instructor collaboration becomes a type of support that is likely to develop their teaching capacities. They also explain the role of the facilitator and how this facilitation is performed have the potential to impact instructors' learning. **(3) Conversations should enhance emotional support and academic wellbeing.** These should be taken into account to enhance teaching quality (Schuck et al., 2008). In addition, based on the approach of Byrne et al. (2010), it is possible to argue that these conversations have the potential to foster a more collegial departmental culture.

### Contextual Background

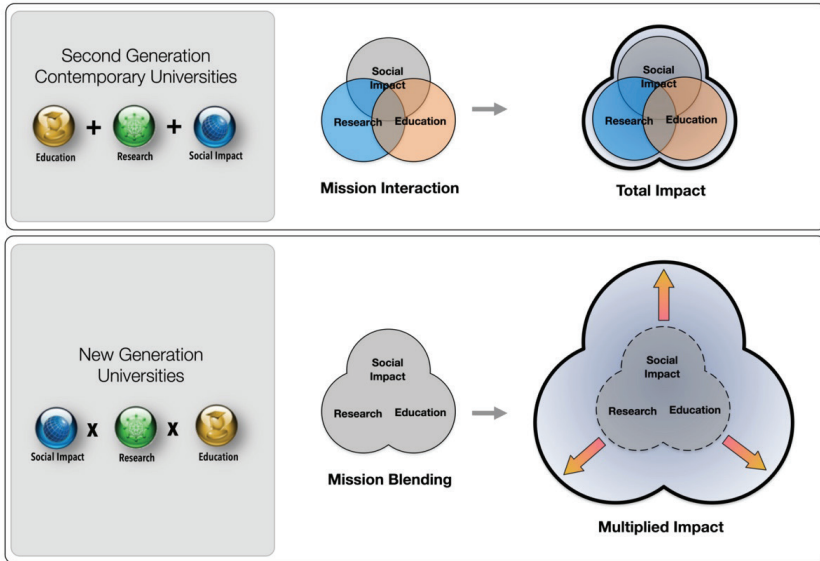
Turkish higher education is a centralized system coordinated by the Council of Higher Education (CoHE). Within this system, the nature of change and policy-making is mostly top-down and institutional flexibility capacity is rather limited, particularly for public universities. In line with the existing top-down policy making tradition, the CoHE recently introduced a new initiative to differentiate universities based on their missions. This created new groups of universities that are referred to as 'research universities', 'health sciences universities', 'social sciences universities', 'regional universities', etc.

These are in essence national-level classifications that leave little space for universities to develop their own initiatives towards change. In this environment, the reform attempts at one public university in Turkey, Abdullah Gul University (AGU), are unique as that university aims to distinguish itself from the others through making changes at the institutional level through curriculum reform. The significance of this reform lies in its bottom-up, participatory, and democratic nature. Eventually, this allowed a university-wide reform atmosphere to flourish, primarily created as a result of the conversations between academics during the initial phases of the reform process.

In due process, in order to meet the expectations of all its stakeholders, this young institution, under the leadership of its existing administrative team and with the sponsorship of the Ministry of Development, initiated an innovative higher education design project entitled *The Socio-Technical University Education Model and System Design*. The project aimed to design the curriculum of the university from scratch especially through blending the three missions of the university (teaching, research, and social

impact) and adopting a constructivist approach combining theory, research, hands-on work, and global competencies. The blending of the three missions was believed to create the foundations of the New Generation University (Figure 1).

**Figure 1**  
*New Generation University*

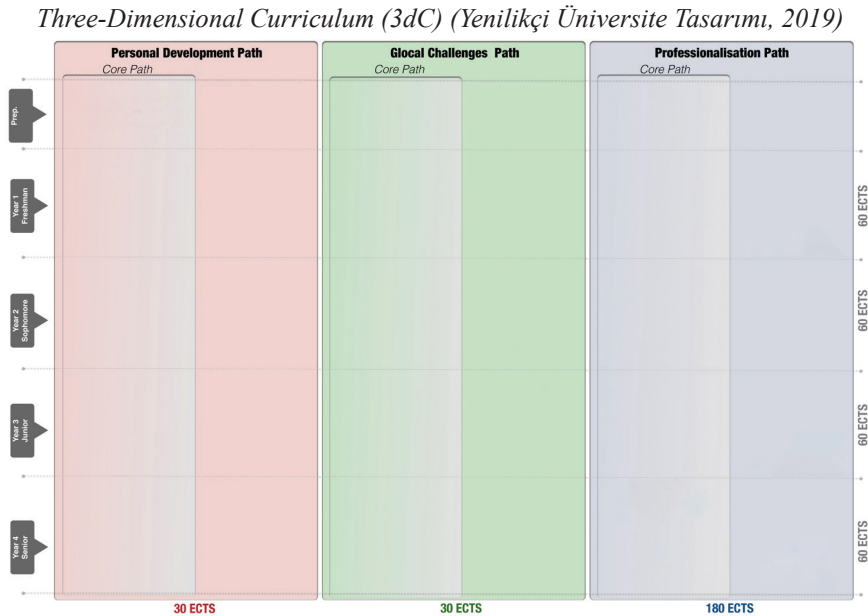


Within the context of the project, the interactions between education and research, education and social impact, and research and social impact were all re-designed and the necessary mechanisms to materialize these changes were created.

The blending process was oriented towards the proposed graduate profile of the university which eventually also resulted in a new curricular design called *Three-Dimensional Curriculum* (3dC) (Figure 2) (Yenilikçi Üniversite Tasarımı, 2019). The new design consisted of three paths: personal development, glocal,<sup>1</sup> and expertise paths. This was a uniform curricular design in which all university students irrespective of their departments followed both personnel development and glocal paths as well as becoming experts in their own fields.

<sup>1</sup> think globally, act locally

Figure 2



In order to motivate students and meet employer expectations, the design necessitated the creation of a new learning unit called *Capsule*. The employer surveys conducted clearly showed that their primary concern was students' lack of applied and practical knowledge. Thus, the Capsule, which would also be the backbone of the 3Dc, incorporated preferably real-life projects as its core component. The idea involved creating a larger-unit (20 ECTS) course and blending different components around projects, which aimed to synthesize different topics, prepare students for real-life situations and meet the expectations of employers. A standard Capsule combines three standard courses around one or more projects.

All these changes initiated different types of conversations among academics in the university. Having finalized the design, one department was selected as the pilot department and took the initiative to start the implementation of the new curriculum, which resulted in a series of conversations leading to a different educational environment in the department. These conversations were strategically employed by the university both as a new model for faculty development and a change-management agent (Saunders et al., 1992) which eventually created a more participatory academic culture. The interviews conducted with academics to explore the nature and benefits of these conversations to manage and implement the change constitute the backbone of this paper.



## Methods and Procedures

This is a qualitative single-case study (Yin, 2009). The single case in this study is the department that undertook the pilot study with reference to the implementation of the educational reform. The reason why a single-case study was chosen is firstly because of its uniqueness as the department is the only one at the phase of applying the reform to its curriculum. Secondly, it has the potential to show how the conversations became a distinguishing communicative characteristic of the academics in the department as a result of this reform.

The data was collected through one-on-one semi-structured Zoom interviews with 13 academics who were involved in several different types of conversations while implementing the 3-dC. The research participants were selected based on the criteria that the participants had been involved in the teaching of the new learning unit, the capsule, in the 3D curriculum for a minimum of two semesters. The number of academic members and research assistants who took part in the design and teaching processes of the capsule was 20. However, when the criteria of selecting the participants was taken into consideration, this number was reduced to 15. Emails were sent out to all these potential participants asking if they would like to take part in the study, 13 out of 15 accepted to participate.

Ethical approval was received from the university to conduct the research. After the pilot study, the interview protocol was finalized. 60-90-minute interviews explored the nature, structure, benefits and challenges of the conversations and the ways in which these conversations influenced their teaching and learning practices.

### *Research participants*

The academics (2 female and 11 male) included three international and 10 Turkish academics, including one professor, four associate professors, three assistant professors, two instructors, and three teaching assistants.

### *Data analysis*

The interviews, conducted in Turkish and English, were transcribed with some modest editing to make the interview notes retrievable. After cleaning the data, the codes were developed with the use of an open coding method. Following that, the constant-comparative method (Merriam, 1998) was used to categorize the emerging themes. The participants were given numbers so as to protect their confidentiality. To ensure the credibility of the data, the transcriptions were sent out to research participants for member-checking for confirmation. They did not provide any additional comments.

## Findings

### *A. The Nature and Structure of the Conversations*

#### *(1) Change-navigation conversations*

The data indicated that research participants held conversations to navigate the curriculum change during the implementation phase. The department members, including all the instructors, academics, teaching assistants and student representatives were invited to attend frequent conversations where administrative issues and planning tasks with relation to the new curriculum were discussed and road maps were determined to manage the change. Conversations also included solution-seeking to departmental-level emerging challenges. These were face-to-face conversations which were usually led by the department head. Some research participants defined these conversations as *3d-c curriculum preparation* conversations which gave them the opportunity to transform the old curriculum into the new one and proved to be very productive in terms of providing a general framework and understanding of ‘how things are going to be done in the new educational context’ (Participant 7). Participant 9 elaborates on these conversations in the following way:

We had several conversations as a whole department where we went over all the curriculum, filtered all courses, eliminated redundancies, revealed inconsistencies. The meeting included all members of the department as well as research assistants ... Everyone had a say on reshaping the content and delivery method of the new curriculum. They were positive gatherings in which we expressed our ideas and discussed the concerns. They were very constructive and helped us have a general understanding of the way the new curriculum was going to function.

#### *(2) Teaching community-building conversations:*

Participants who were in the joint team to design each capsule explained that they gathered together and held conversations about the teaching and learning processes of their capsule. The group’s size included teaching assistants and four or five academic staff members. They met to discuss their educational practices rather frequently throughout the semester. These conversations occurred face-to-face without a formal leading figure. Some participants indicated that these conversations helped them build small teaching communities:

[For example, when a new capsule will be designed], a narrower [team of instructors], 4 to 5 people were involved in the design. [Usually] two assistants were included. [In small groups, we discussed] what topics [we will be teaching], how do [students] implement the project? ... How do we give exams? What is the content, what topics should be processed? [We]

talk about all the details we will be working on. Everything related [to the capsule] was spoken about in that meeting. (Participant 2).

*(3) Impromptu needs-based conversations:*

These are the casual and spontaneous conversations which occurred when the need arose. These conversations usually took an immediate question-and-answer form over the telephone to solve a problem:

Sometimes we need to solve some appearing problems urgently and we have a WhatsApp group and it is active ... so If I need to get advice or I need to communicate quickly I just go to the group and it can be done in real time ... We communicate also all the time; we keep contact via the WhatsApp group. (Participant 3).

Data indicated that these three types of conversations always took place in all-inclusive environments.

*(4) All-inclusive conversations:*

Research participants perceived the conversations to be inclusive and democratic where they all had the opportunity to have a voice. In the Turkish academic cultural context, this is not always the norm. They explained that some participants in those conversations were more active than others. These conversations usually occurred in a flat-hierarchical format either in a self-organizing team or a rotating conversation-leader format. Participant 11 mentioned that hearing various points of view throughout the conversations also made the environment more democratic as ideas were discussed transparently.

Even though the conversations are perceived as environments where the participation of all the stakeholders is strongly desired and encouraged, some participants highlight that the biggest challenge was the lack of equal participation of everyone, particularly those who choose to become quieter or tend not to contradict or be critical even if they do not always agree.

... I've sensed that whenever we are having discussions and brainstorming, when people do not like the idea or when they feel that the idea is not very good, they can somehow share their opinion and there is no problem in that. However, [when an instructor] comes prepared, I seldom see any criticism [towards their work]. ... [Others] do not usually make any negative comments and they all agree that it's actually the culture. ... Unless you want to make an enemy, don't ever criticize in a negative way ... People do not take the criticism in a constructive way. They take it personally. That was the challenging part because eventually that material has to go out to the students. ... The reason we are sharing it in our meeting is to get more mature feedback and improve it ... but because of the

culture you cannot get very direct and straightforward feedback from your colleagues so it is very difficult to improve...

### ***B. The Impact of Conversations on Teaching and Learning Practices***

In addition to the nature and structure of the conversations, research participants also explored the ways in which these conversations influenced their educational practices.

#### *(1) The emergence of a new educational culture:*

Almost all the participants explained that these conversations led to the emergence of an educational culture:

Almost everyone now realizes that [there is] a meeting culture, an open speech culture, and an environment where the assistant can even say something, and sometimes the assistant's idea is more acceptable. I observe that people are sometimes disturbed in a serious way, but they generally benefit from the situation. I think that as the number of people joining the process increases, the more a common culture develops in a sense. In terms of assistants and teachers, I think a common meeting culture has been formed. We get together in smaller groups for capsules. When we meet at the department meetings, we now ask 'how is it going in your capsule? etc.' Everyone can understand each other... (Participant 4).

Research participants indicated that these conversations gave way to **constant and constructive feedback** where academics provided each other with helpful tools to improve their skills:

...the feedback I received in regard to maintaining my relationships with [students] was very useful. It is very important that the [co-instructors we work with] can get back to you when they see a deficiency or see a point in which we can improve ourselves. [The co-instructor] can say that it would be better if you do this instead of this about that lesson while drinking tea and coffee [and you don't perceive it as a negative critic]. These [conversations] are very useful. If I were just [a graduate student] doing research, I probably wouldn't be able to improve my teaching skills (Participant 11).

In addition, participants pointed out that another impact of these conversations was **critical self-reflection**. They commented that, thanks to the conversations, they had started to reflect on their teaching habitually. As Participant 13 mentioned, 'if we could not get the expected outcomes from the students, we asked ourselves: Did we manage to explain it clearly? Was there certain information that might be missing? Should we support it with more examples?' Participant 3 highlighted that in the practice of engaging conversations, he had to look at the content openly and make the changes

necessitated by the new system:

I [have started to get] feedback on the content [I am teaching]. In one capsule I teach physics and in another one I teach math. In [instructional conversations] I can ask my engineering colleagues if they really need that math concept for their engineering students. [Depending on their answer] I can shorten it or emphasize it more.

Participants also highlighted that they had been learning together and from each other. Specifically, as Participant 2 mentioned, conversations created a **collaborative mind** where they were constantly thinking about the instruction:

... Two heads are better than one ... Everyone has a different educational background and everyone can think from a different point of view and can look from a different perspective ... [they can see something that you may not see,] which can be useful to create something new.

Participant 7 elaborated more on how this collaboration might be a unique thing for their department:

It is very new that the instructors in the capsule come together and try to synchronize. I have not seen anything like this before. We say [this subject is] explained this week, let's ask this question because in another [component of the capsule] this is given as a team assignment. Generally, a teacher prepares the assignments, but then we add something in addition to those questions: ... doing a joint assignment, a joint project, synchronous lectures and talking about them at meetings ... As far as I know, the content of each course is determined [by the instructor of the course] at other universities and there is no interference with the content except the instructor of the course.

Along the same lines, Participant 3 commented that they had been also learning to work collaboratively because of these conversations:

... You learn how to deal with different people... we always talk to the students. We know that teamwork is very difficult for you. Well, it is also very difficult for us because we are having conversations every week and we have different people among us, 20 people. We all have different ideas and personalities and we are just learning how to handle that. Yes, that is also a benefit: learning teamwork.

Participant 4, who also perceived collaboration as an important benefit, highlighted that this collaboration led to being aware of each other's weekly flow:

... when everybody is aware of each other's progress, I can say that [in this lesson, you are dealing with the subject A, and in my lesson, this

subject has something to do with subject B] The most important part of these [conversations] is that we can be informed by each other and flow in parallel. Before the capsule, everyone was acting on their own without knowing what the other was doing. The capsule [conversations] enabled us [to collaborate].

Participant 7 observed that the conversations in which students were involved to a certain degree not only created a more collaborative environment between participants but also helped students to be more collaborative between themselves during their coursework. Participant 6 also expressed a similar view and indicated that, as a result of the conversations around the capsule leading to a more collaborative environment, students also became more collaborative:

There are components of physics in a math question. He knows the math part but he lacks in the physics part. He consults his friend. The friend is willing to help. By collaborating to this degree, they can tackle tasks together. I think by explaining things to each other, developing homework and projects together [collaboratively], division of labor improves their skills [tremendously].

## *(2) Professional development:*

Participants indicated that the conversations helped them grow professionally. Several academics pointed out that these conversations were a form of professional development for them where they realized the need to change their instructional practices and start to use technology more effectively in their courses. From this perspective, the conversations were helping them **upskill their teaching abilities**. Through the conversations, academics started to invest more time on finding strategies to help their students be engaged and motivated as well as to become self-learners and critical thinkers. As one of the participants mentioned, conversations also improved their ability to find the right questions to ask students to keep them engaged.

Five of the participants mentioned that, in these conversations, they discussed the syllabus, learning objectives, the instructional design of the content, the labs, the projects and the assessments in depth, which facilitated their professional development. Participant 10 mentioned that ‘among [these topics], the assessment is an important part of these conversations. So how we evaluate [the student’s progress] is a subject that we are still [discussing]’. Additionally, two participants (Participants 1 and 6) further highlighted those conversations held for one capsule made their teaching much more meaningful for their other courses as well.

Participant 4 approached the impact of the conversations from a

personal developmental perspective. He indicated that these conversations provided an opportunity to **experience a certain academic etiquette**:

How does a more experienced person act? How do they comment? Such environments also make me question myself: [Why am I commenting on everything]? Why do I react with my feelings? Calm down a little. Look how the other instructor has been waiting. Or even with the inexperienced person, their attitude can be also instructive for me. In other words, conversations can be extremely useful environments for educational and personal development. Sometimes you have to be patient in environments where you are about to explode but you still have to stay in the meeting. Such meetings are beneficent for personal development.

Participants further indicated that conversations provided them with an opportunity to **critically analyze the overall curriculum**, create cross-curricular connections between their courses and eliminate overlaps and redundancies. Participant 7 indicated that it was not an easy task to cross-reference and integrate the subjects. However, he confirmed that they had started to simplify the content and stop ‘bombarding’ their students. Other participants also emphasized that these conversations had helped them find cross-referenced content, and interdisciplinary connections, as well as to create transferable problems and more meaningful assignments for students to work on:

Some of the questions that we are constantly asking are: How does one course’s content affect the content of the other courses? Should we cover the same things or [should we find ways to connect the subjects]? ... then we see that some of the ingredients are missing in a capsule, and students are having trouble passing to the second capsule ... Then we asked: How can we enrich the content of this one? In other words, we discussed each capsule in connection with the others (Participant 7).

Six participants mentioned that the conversations allowed them to **reconsider time management**. They realized they had to re-balance their time between their research and teaching duties. Participant 10 observed that he had to put more time into teaching compared to research to increase the quality of education.

... the more you try to [increase] the quality of education, the more time you have to spend. When the situation is [profound], then [have to set aside time] from your research. Balancing this is the hardest part for me because we are constantly trying to improve the quality of education.

### *(3) Active preparation of future faculty:*

Data indicated that one other impact of the conversations was on the ways in which they helped early career academics to prepare for future



academic jobs. Novice academics, such as Participant 12, indicated that they were happy to be part of these environments, since their thoughts were valued in this culture. As Participant 13 mentioned, through these conversations, they also had opportunities to observe experienced instructors and had a better understanding of their roles: ‘I approached and treated students like my friends [at first]. I had to adjust; I learned it [through the conversations]. I learned how to communicate with students better.’

## Discussion

This study explored the perceptions of academics about the nature, structure, benefits, challenges, and impact of the conversations that they had been part of in the implementation of the new curriculum. The benefits of the conversations clearly outweighed their challenges and almost all the research participants focused on their positive contributions.

The perspectives of academics highlight those conversations are happening in a dialogue format where there is an effort to hear and respect all voices, which helps instructors navigate and implement curriculum change in a democratic way, building a new community of academics in the department (Jenlink & Carr, 1996). In line with the literature, our participants’ mindset changed from traditional advocacy to community consciousness. This environment created by dialogue enabled design conversations to take place, leading to the materialization of the change process.

Not finding any resistance to change, we observed that these conversations helped to reduce confusion and contribute to an environment where the instructors sit willingly and listen to others’ differences (Bond & Blevins, 2019). In any type of organizational change, people tend to resist and are often unable to modify their own ideas when they are presented with new ideas and challenged to leave their comfort zone (Page & Schoder, 2019; Nadia et al., 2020). Of the four types of conversations, the fact that our findings point to dialogue and design types shows us that discussion and dialectic type of conversations may have already taken place in the earlier stages of the curriculum transformation process.

This research is conducted where all the initial negotiations, frameworks, and understandings have been deeply synthesized and a dialogue and design type conversation culture has already been created. So, it is not surprising to find only these two types of conversations at this implementation stage where common understandings and senses of identity and belonging can be argued to have already been formed.

Regardless of the types of these conversations, our findings showed



that new actions resulting from conversations occur concurrently since instructors implement the curriculum in the classrooms (Ford, 1999; Hazen, 1994). Thus, we can see that the change actually takes place as a result of these conversations, which are the medium of organizational change in terms of the department becoming change agents.

Our findings highlight that those conversations help academics to reflect critically on their teaching practices and collaboratively develop solutions to challenges. Clearly, these conversations provide not only important pedagogies for learning and teaching (Parker et al., 2016; Cox, 2003) but also enhance their competencies and their understanding of the norms and values of academia.

From the perspective of professional development, one of the important outcomes of this study is that conversations help academics improve their ability to make their content learner-centered, active, and cross-disciplinary in line with the approach to teaching that Cox (2003) mentioned in his study. Additionally, according to the participants, the new capsule system helps them shift their instructional design. Whereas traditionally, academics were autonomous individuals making their own decisions in their teaching practices, these conversations created a collaborative environment transforming these solo players into interdependent actors who negotiate the content and style of teaching practices. In a collaborative environment, the academics will be more enthusiastic to implement new approaches to teaching (Cox, 2003). The collaboration will also increase the continuity of cross-disciplinary learning (Cox, 2003). However, the time and space of these conversations should be arranged to increase the effectiveness.

The data implied that open-minded and critically reflective instructors can observe their students' way of learning, easily communicate with their colleagues, and, as a result, can observe their actions carefully and critically to make rational decisions regarding their teaching practices (Brookfield, 1995). In this department, there are eight teaching assistants, three of whom participated in our study. We observed that they are not particularly aware of their learning process that was taking place, a phenomenon that Rehm and Notten (2016) defined as reactive learning, which happens 'spontaneously in a specific context, and while executing a particular action' (p. 216).

In this conversational context, their learning happens while observing the conversations or teaching. Being an active participant in the conversations also guides them to understand themselves in their new role (Haigh, 2005) since other instructors' aim was to show them what they care about as a department as well as how and why they do things in a specific way.

Through this data, we have also observed the benefits of conversations for departmental students. For example, conversations provide an opportunity for instructors to follow the weekly process of students learning progress and make the necessary changes collaboratively in their weekly schedule. The application of cross-curricular connections also prepares students for the competitive job market. It provides students a venue to gain transferable problem solving-skills by working on multidisciplinary problems. We think that the implementation of this type of curriculum has the potential to allow students to see the big picture of what and why they are learning, instead of getting lost in disconnected concepts (Harish et al., 2012).

### **Conclusion**

Our findings indicate that the dominant conversations were the dialogue and design types and they facilitated the collaboration and creativity of academics as opposed to what those academics had been used to (practice) when they were teaching their own courses without cross curricular connections. They were able to learn from each other and learn together. This in itself was a significant transformation from a top-down to a bottom-up academic culture, where participatory and shared decision-making processes had become the norm. These conversations also provided them with support and guidance for their teaching practices. In addition, these conversations became spaces where academics build trust and a sense of belonging. They also provided a venue for academics to assess their professional development and particularly helped early-career academics to socialize with senior academics and to prepare themselves for their future careers.

Based on interview data from the capsule instructors, there seems to be a need to take observational data into consideration to evaluate the focus and facilitation of the conversations which occurred during the implementation process. Conversations are also helpful tools and our recommendation is for academics and graduate assistants to continue their conversations in different shapes and forms frequently. For academics to be able to speak comfortably, to argue, and to find something independent from boundaries, dialogue, and design conversations should continue to be implemented. Future research should include student evaluations, observing the conversations and comparing the nature and impact of these conversations with other departments when they start to implement the same curriculum.

### **Declaration of Interest Statement**

No potential competing interest was reported by the authors.

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# Chapter 14

## INNOVATION MANAGEMENT IN BUSINESS

*Semra TETİK<sup>1</sup>*

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## INTRODUCTION

The way for businesses to survive in an increasingly competitive environment is through innovation. With innovation, businesses, organizations and even state economies can cope with global competition. The fact that the competitive environment has a very complex and dynamic structure, the change in the supply-demand balance and the discovery of new markets necessitated innovation investments. Keeping up with the rapid changes that develop at both micro and macro levels, capturing and maintaining competitive advantage is possible with innovation. Today, it is clearly seen that the global competition race takes place among innovating enterprises (Kosa, 2019: 1795).

Innovation has become an important concept in terms of countries and businesses, especially in recent years, on which the whole world focuses and studies. In terms of countries, the most important reason for this is that it plays an important role in sustainable development, social welfare, increase in employment, providing national competitive advantage and increasing the quality of life. When considered for businesses; It is a very important tool that allows entry into new markets, reduces costs, increases productivity and profitability, increases product and service quality, and increases productivity (Güler and Kanber, 2011: 62). For this reason, it has been inevitable for enterprises to realize innovations. Therefore, businesses need to attach importance to innovation management in order to achieve successful results in an intense competitive environment (Demir and Sezgin, 2016: 16).

Innovation management includes the transformation of new ideas into commercial gains, but it is a process that enables businesses to continue their lives and creates profitable growth. In this process, there is a process that covers not only certain areas but the entire organization. In this process, in addition to the product and service, the dimensions of the market, process and organization are interrelated (Doğancılı, 2018: 50). In this context, innovation management is a process that requires effort and attention. For this, opportunities and threats should be evaluated well and an effective innovation strategy should be determined (Güler and Kanber, 2011: 74). In this study, innovation and innovation management, which are critical to the success of businesses, are examined within the conceptual framework.

## INNOVATION

Derived from the Latin word “innovatus”, innovation means turning an idea into a salable or improved product or good or service. Webster dictionary defines innovation as “a new and different result” (Elçi, 2006: 7). According to the TDK dictionary, the equivalent of the concept of innovation is called “innovation” ([www.tdk.gov.tr](http://www.tdk.gov.tr)).

The concept of innovation was defined by Schumpeter in 1911 as “the driving force of economic development”. According to the Oslo Manual prepared by innovation, OECD and European Commission; It is defined as “the application of a new or significantly improved product or process, a new marketing method or a new organizational method in practices within the business, workplace organization or external relations” (Keleşoğlu and Kalaycı, 2017: 76). Schumpeter (1911) on the other hand, the concept of innovation; It is explained as one of the situations such as adding new qualities to a product or an existing product that customers do not know yet, creating a new production process, creating a new market, finding a new source for raw materials or semi-products (Şendoğdu and Öztürk, 2013: 106).

Schmookler (1966) innovation states that “an enterprise is making a technical change if it develops a new product or service for itself or uses a new method or input for itself. The first enterprise that makes a certain technical change is the one who innovates and this action is innovation” (Ersoy and Şengül, 2008, 60). Freeman (1982), the concept of innovation; Technical, design, production, management and commercial activities that involve the marketing of a new (or improved) product or the first commercial use of a new (or improved) process or equipment (Bessant and Tidd, 2007: 12).

According to Drucker (1985), “innovation is the tool that enables entrepreneurs to make changes to produce a different business or service and gives resources the ability to create new capacity. It has the feature of being shown as a discipline, learning ability and application ability” (Elçi, 2006: 26). According to Flynn, Dooley, Cormican (2003), innovation is the time to transform emerging opportunities into new ideas and to reach useful practices from ideas (Kosa, 2019: 1794). In other words, innovation is the process of transforming an idea into a marketable product or service, a new or improved production or distribution method, or a new social service (Çetindamar and Baktır, 2009: 25).

With a general definition, innovation is the realization of an innovation, a new or significantly improved product (good or service), or process, a new marketing method or a new organizational method in business practices, workplace organization or external relations (OECD, 2005: 50). ). In this context, innovation emerges as a process that includes the transformation, adaptation, implementation and integration of new ideas, new markets, applications into new products and services in the business (Akın and Reyhanoğlu, 2014: 25). Based on the explanations made about innovation, it can be said that two basic components must come together for innovation to occur. These components are a new idea and the transformation of ideas into a marketable product (Kosa, 2019: 1794).

## CONCEPTS RELATED TO INNOVATION

While innovation is being implemented, it can also reveal other concepts related to itself. Therefore, the evaluation, examination and analysis of similar and close concepts is important and necessary to prevent ambiguity and confusion.

***Invention:*** The concept of innovation is often confused with the concepts of invention or invention. In fact, although these concepts are closely related, they are different from each other. While invention is the creation of a new idea; innovation is to create something that is not made by anyone or to make a difference by changing something that is available (Akyürek, 2020: 16). Inventions can be used for innovation, but inventions do not always appear as innovations. Because innovation requires commercial success. As long as an invention cannot be commercialized, there is no innovation. In order for an invention to be an innovation, it must create added value (Elçi, 2007: 19).

***Discovery:*** Discovery means “revealing, revealing” and “revealing something unknown to exist”. As in the example of the discovery of the American continent; Discovery means finding something that already exists. In discovery, unlike invention and invention, nothing new is created, only found. Creativity in discovery is more about the process than the result. A new product is not created in exploration, as in the case of oil being found underground or a new ore is found, but only found. The situation is the same for newly found planets, activity is a discovery (Aktaş, 2018: 16).

***Research-Development (R&D):*** Although it is only a related concept with innovation, it can be confused. (R&D) is the activities for the emergence of production and product processes in enterprises, the provision of regular data, and the development of new products or existing products. (Zerenler et al., 2007: 656). While R&D refers to the production of new information, products or services and the systematic collection of information, innovation covers all dimensions of invention, production, development and commercialization from the very beginning to the end of the process. R&D is the source of innovation (Palamutçuoğlu, 2019: 2).

***Patent:*** The most important tool for the protection and security of innovation activities is the internationally valid patent system. A patent gives the owner the right (for a limited time) to use the patented invention only by him. It also discloses the details of innovative outputs to enable wider social use (OECD, 2005: 26). The purpose of the patent is to direct creative ideas, innovations, activities and information to invention by protecting them. Thus, it is to ensure that the technical analyzes achieved through inventions can be applied in industrial conditions (Bilgici, 2014: 83).

**Change:** Change can be defined as a planned or unplanned transition of a system, process or environment from a certain state to another (Tançiler, 2018: 38). The concepts of innovation and change are often confused with each other. Innovation is holistic, radical and deliberate change, whereas change is deliberate and unintended, to which individuals and organizations can be exposed at any time and that does not necessarily generate economic returns. Innovation is a change process, but not every change process is an innovation (Basaran, 1982: 170). Innovation and change are seen as partners in theory. Change not only in industrial activities but also in services is considered as an indicator of innovation (Moreira, 2016: 135).

**Innovation:** Innovation is also a word used in place of innovation. However, it is possible to say that innovation is much more than innovation, since not all innovations have commercial value (Yiğit, 2014: 3). Innovation refers to an economic system that depends on differentiating and changing the outcome rather than the innovation itself. According to Drucker, unlike innovation, innovation creates value (Elçi, 2006: 1).

**Creativity:** Creativity, trying to establish similarities between elements belonging to unrelated fields; It is the ability to create new ideas and to use what we know in new combinations. Innovation is a process. Creativity, on the other hand, is the skills that provide the appropriate conditions for this process. Creativity is the initial stage of innovation, but it also affects all other aspects of the business. Creativity has a direct impact on the success, usability and economic return of innovation (Aktaş, 2018: 15).

**Entrepreneurship:** Entrepreneurship and innovation are complementary to each other. An important part of the structure that creates entrepreneurship is innovation. Innovation is the creation of employment by entrepreneurs through their efforts to raise funds. One of the most important factors that ensures and supports the success of entrepreneurship is innovation. Entrepreneurial behavior and initiative; It covers initiatives and behaviors to innovate, take risks and eliminate market imbalances. Entrepreneurial spirit, on the other hand, expresses research, innovation, opportunity seeking and discovery (Işık et al., 2015: 63).

## PURPOSE AND IMPORTANCE OF INNOVATION

Innovation is one of the most important factors for the success and competitiveness of organizations as well as for strong economies in the 21st century. Especially technology organizations are in a dynamic environment affected by market uncertainties, rapid change, shortened product life cycles and globalization. Organizations operating in this and similar environments need to be more creative and innovative than ever before in order to survive, compete, grow and become a leader in the market (Akyürek, 2020: 16). Innovation has 3 main purposes (Örücü et al., 2011: 62):

***Sustainability of the business:*** Businesses generally produce more than one product or service. The diversity of products and services brings with it the necessity of competing in more than one market. Especially in the markets where there are high-tech enterprises, innovation and change become inevitable due to the shortness of the product-life curve. A business has to constantly renew itself in order to survive in a competitive environment.

***The company's leading position in the market:*** A company that knows exactly what the consumer wants and needs and offers innovations to meet this need, takes the leadership seat. In order to be a leader, it is necessary to realize major innovations in technology / market personally. In this way, the business can direct the market in line with its own interests and find the opportunity to determine the competition conditions on its own. "The person who plays the game best is the one who sets the rules of the game".

***Increasing profit:*** Profitability is one of the important factors that show the success of the business. Innovation projects have a certain financial burden. Although these projects seem to reduce profitability at first, they have an increasing effect on profitability over time. If innovations are successful, they reduce costs, shorten the production process, and increase performance and efficiency. All these positive developments will increase the profitability of the enterprise. The important thing in these matters is to be patient because it is almost impossible to get immediate results in innovation studies. Innovations, which will provide great benefits to the business in the long run, will make serious contributions to increasing profits both indirectly and directly.

Innovation activities are a very important issue for businesses as well as contributing to the country's economy and providing better service to customers (Taşgit and Tosun, 2016: 123). Innovation has benefits such as increase in the market share of the enterprise, adaptation to global business requirements, competitive advantage, cost advantage, growth of the enterprise, increase in productivity, increase in profitability level (Toraman et al. 2009, 103). He stated that good ideas often emerge through the process of looking closely at customers, competitors, and one's own business. Pearson stated that a nation that can increase productivity can gain competitive advantage in international markets, and that it is necessary to innovate and gain competence in innovation in order to increase productivity. In this context, while innovation has emerged as an important factor in increasing productivity and profitability, businesses need to benefit from innovation activities in order to be sustainable (Taşgit and Tosun, 2016: 124).

## SOURCES OF INNOVATION

Drucker has gathered innovation resources under two main headings as internal resources and external resources. According to Drucker; “unexpected developments”, “incompatibilities”, “process requirements” and “changes in the market and industry” are internal sources of innovation in the company or in the sector in which it operates. “Demographic changes”, “perceptual differentiations” and “new knowledge” are external sources of innovation in the social and intellectual environment outside the firm (Flynn et al., 2003; Gayret, 2020: 63). These innovation sources are explained below.

***Unexpected developments:*** An unexpected success, failure or an unexpected external event may herald a unique opportunity. The important thing is that this opportunity is perceived and evaluated properly. What is important in evaluating unexpected developments as a source of innovation is to recognize and understand the symptoms well and to see possible opportunities to be obtained (Tançiler, 2018: 50). Such developments can occur not only within the companies, but also outside the companies, but also within the sector (Gayret, 2020: 63).

***Incompatibilities:*** It refers to the differences between the current and expected situations of the enterprises. However, these differences may not be understandable by everyone (Gayret, 2020: 64). Mismatch is a sign of innovation opportunity. Occurs or is discovered as a result of errors that have a significant impact on a process. These mistakes also create an opportunity for innovation (Tankisi, 2018: 51). In other words, for the innovation sources to emerge, there must be a mismatch between expectations, estimates and what is revealed (Gandotra, 2010: 55). This source of innovation occurs when marketing relations and consumer references begin to change (Tançiler, 2018: 51).

***Process requirements:*** The needs that develop during the process are actually an opportunity for organizations to innovate. In these innovations, unexpected developments, inconsistencies or the diversity of the demographic structure can also be benefited. Unlike other sources of innovation, process requirements do not start with an event in the internal or external environment. Process requirements begin with a job done and are focused on the task rather than the situation (Tançiler, 2018: 51). Process requirements can further optimize existing processes and replace weak linkages of processes and redesign the previous process in the context of new information. The applications carried out by the R&D unit to meet the process requirements of the companies can also be considered within the scope of innovation resources. For this reason, when the process used does not meet the needs and needs to be changed or improved, it can bring

innovation together with R&D applications (Gayret, 2020: 64). Thanks to process innovation, there may be changes in production, operation or distribution processes, as well as completely new processes (Aktaş, 2018: 18).

***Changes in the market and industry:*** These changes offer businesses unique opportunities. However, insiders of the industry may perceive these changes as a threat. Dynamic forces that foster innovation opportunities are constantly putting pressure on stagnant markets and businesses. Periods of rapid change or growth, changes in a market's major players, and technological changes can reveal great opportunities for innovation. Those who follow these changes closely and see them as opportunities consider various gaps that were previously unnoticed or ignored in the industry as innovation (Tançiler, 2018: 51).

***Demographic changes:*** It includes factors related to the demographic structure, tendencies and characteristics of the surrounding population in which businesses operate (Ülgen and Mirze, 2010: 87). Some future events become predictable with the data obtained from demographic variables. Organizations can direct their future actions and innovation strategies in line with these data. Thanks to demographic variables, organizations can see the environment they are in more clearly and clearly. Cyclical times of demographic changes can also be known. For example, it can be said that individuals who will retire in a developed country in 2030 are included in the workforce today. Similarly, the education processes of individuals who are in their early or mid-twenties today will largely determine their career steps for the next forty years (Tançiler, 2018: 52).

***Perceptual differences:*** Changes in lifestyles, attitudes and value judgments and cultural habits that affect the social and cultural structure offer innovation opportunities for businesses (Gayret, 2020: 65). Under the influence of various sources, people's perceptions can change. In particular, mass media have an important function in this regard. When evaluated from this point of view, some opportunities may arise in the face of changing perception and innovation leaders who can benefit from these can achieve success (Tankisi, 2018: 52). In order to ensure that the product and service created by a business can remain in the market, the characteristics of this product and service must be in line with the perceptions of the people who will consume it. It is important for businesses to be able to recognize the constantly changing perceptions of people and to develop innovation practices accordingly. Entrepreneurs who attach importance to innovation should see changes in perception as an opportunity and source of innovation (Gandotra, 2010: 57).



**New Knowledge:** Among the groundbreaking innovations, the most prominent are knowledge-based innovations (Tankisi, 2018: 52). It creates unique innovation opportunities that businesses should take advantage of. Innovation starts with thought, and therefore the formation of ideas can be seen as an important variable in the innovation ability of companies. The collection, dissemination, exchange and use of information by individuals and organizations affect the formation of ideas. Companies can support the idea creation stage, which is the first step of innovation, with the new knowledge they will have by following technological developments closely (Gayret, 2020: 66).

While these resources differ in their risk, hazard, and complexity, they overlap and innovation potential can be found in several of these areas at the same time. But taken together, they are the source of the vast majority of all innovation opportunities. These resources will be useful in making use of the innovation potential in the business and creating an environment suitable for innovation (Durna, 2002: 41).

## TYPES OF INNOVATION

In the Oslo Manual (2005), four different types of innovation are defined as product innovation, process innovation, marketing innovation and organizational innovation (Kalay and Kızıldere, 2015: 37). However, social innovation, radical innovation, incremental innovation, closed and open innovation types are encountered in the literature (Keleşoğlu and Kalaycı, 2017: 80). The types of innovation are described below.

**Product Innovation:** Developing a new product, creating a different product or making a change or difference in the owned product and putting the product created as a result of these on the market means product innovation (OECD, 2005: 52). Product innovations enable businesses to improve their competitive position and maintain their presence in the market. The need for product innovation may also result from changes in the organizational structure of the firm (Şahbaz, 2017: 23). On the other hand, new products may emerge thanks to newly opened marketing departments. Therefore, product innovation aims to produce more new products and services. These new products produced also aim to gain new markets and consumers and to increase the level of satisfaction by making different changes from the current situation (Wan, Ong and Lee, 2005: 262).

**Process Innovation:** Process innovation; Innovation is the implementation of a new or significantly improved production or delivery method that involves significant changes in techniques, equipment and/or software. Operations in process innovation; software, equipment and technical changes. Significant distribution, production or improvement in



method development can be defined as process innovation (OECD, 2005: 53). Process innovation can be foreseen to reduce production costs per unit or delivery costs of products or to improve the quality of products. While the increasing impact of the introduction of new products in revenues and employment is known, in fact the impact of process innovation on firm success is greater and inclusive due to the cost-reducing effect. Product and process innovations are closely related to technological developments (Kalay and Kızıldere, 2015: 38).

**Marketing Innovation:** Marketing innovation can be defined as a new marketing method that includes significant changes in product design or packaging, product positioning, product promotion or pricing (OECD, 2005: 52). In other words, there is a difference in products and services in marketing innovation. A different design emerges in the form of differences in packaging and customer relations methods. The purpose of marketing innovation is to increase sales, find new markets, position the product in a different way, and meet customer demand effectively (Şahbaz, 2017: 24).

**Organizational Innovation:** Organizational innovation is the application of a new organizational method in the firm's business practices, workplace organization or external relations (OECD, 2005: 51). At the heart of organizational innovation is the need to improve or change a product, process or service. All innovation revolves around change, but not all change is innovative. Organizational innovation encourages individuals to think independently and creatively as they apply personal knowledge to organizational challenges. Therefore, organizational innovation requires an innovation culture that supports new ideas, processes and generally new ways of "doing business" (Akbaş, 2020: 21).

**Social Innovation:** Social innovations can be defined as new products and services, new practices, new processes, new rules and regulations developed to better address and solve social needs. Social innovation is a concept that expresses new approaches, practices, structuring (organisations), business models and processes that have been developed and found the chance to be implemented in terms of the solution of social problems. Social innovation is related to the changes in social relations within the organization resulting from process innovation. Social innovation is to produce and implement innovative solutions to existing social, cultural, economic and environmental problems in order to provide a sustainable life for people, society and the planet (Tançiler, 2018: 45).

**Radical Innovation:** Radical innovation is a radical change in the current situation. In radical innovation, innovation occurs as a result of studies that include activities for improvement and breakthroughs in untested products developed by service methods as a result of radical

ideas (Elçi, 2006: 3). Radical innovation, which can also be defined as groundbreaking innovation, has a transformative effect on human life and the environment. The main purpose of radical innovation is to make life better. One of the best examples of radical innovation is undoubtedly the invention of electricity. Even the word technology actually has electricity as the hidden subject. Without electricity, computers, mobile phones and even the internet, which are indispensable for technology, could not even be imagined (Aktaş, 2018: 19). Therefore, radical innovations; It includes activities with high cost, high risk, longer process and less chance of success (Elçi, 2006: 3).

***Incremental Innovation:*** Incremental innovation is the improvement of existing products and processes. Incremental innovation refers to using existing technologies and transforming them into new products and services. If there are only improvements in the product, service or process, there is incremental innovation. Incremental innovations; cost reduction and repositioning, developments in product formation and revision, additions to the output of product lines (Kılıç: 2013: 25). The inclusion of an innovation in such a classification is conditional. While the internet is a gradual innovation for a company with a computer communication system; The internet is a radical innovation for a business that has just met with the e-mail application and changed the communication channels of the organization in this direction (Tekin et al., 2003: 140).

***Closed and Open Innovation:*** Closed innovation is the innovation process that is completely internal, without any cooperation or information exchange with the outside. In this type of innovation, all processes are done by the organization on its own and over time, sequentially. Open innovation, on the other hand, is the acquisition of knowledge and technology produced by the organization through the R&D process, as well as the knowledge produced outside, and its participation in the innovation process. With open innovation, organizations can increase success by reaching complementary resources as a result of cooperation and interaction with the environment. This type of innovation provides organizations with time and cost savings, while providing significant advantages in the transformation and commercialization of innovation with new partnership relationships (Chesbrough, 2003; Altın, 2020: 52).

## INNOVATION PROCESS AND STAGES

The innovation process can be defined as the whole of activities that start with the formation of new knowledge, continue with the discovery of new products and processes, and end with commercial gains (Toraman et al. 2009: 102). Innovation process; It has been discussed in five stages, namely identifying the need, creating ideas, conceptualizing, developing

innovation, implementing and commercializing innovation (Basadur, 2003: 8).

***Determining the Need:*** The most important factor at this stage is that the market needs a new idea. This need arises because the customer forces the business to innovate. The need arises because the customer forces the business to innovate. Because customer focus in businesses has become even more important due to the increasing competition, the rise in R&D costs and new opportunities. Existing products and services may not meet customers' needs. In this way, the business has to innovate due to the difference between the goods and services offered by the business and customer expectations (Durna, 2002: 115).

***Generating Ideas:*** In order for ideas to be formed, the business must have sufficient knowledge of the innovations they want to make. At the end of internal and external environmental analysis, the company will obtain information about the subject. If the business attaches importance to customer focus, it will gather information in the innovations it will make in line with the expectations and needs of the consumer (Gök, 2012: 63). At this stage, it is very important for employees to express their ideas, thoughts and suggestions clearly. These suggestions from the employees will be used in the creation of the innovation or in an innovation to be changed. Therefore, especially at this stage, efforts should be made to express ideas freely in the organization, to make communication clear, frequent and continuous, to remove all obstacles in the flow of information and to make the organizational structure suitable for all these (Duran and Saraçoğlu, 2009: 65).

***Conceptualization:*** In the conceptualization stage, ideas have begun to transform into a conceptual form. This stage is the stage where the innovative ideas produced during the production of ideas are evaluated internally (inside the organization) and externally (outside the organization), unsuitable ideas are eliminated, and the appropriate ones are ranked in order of importance. In short, the number of ideas created is reduced by pre-selecting the ideas produced. In the evaluation made within the organization, it is investigated whether the innovation ideas are suitable for the purpose and resources of the enterprise (Duran and Saraçoğlu, 2009: 66).

***Development of Innovation:*** The development phase is basically the phase of carrying an innovative idea or plan at the theoretical level to a real product or process (İraz, 2005: 118). Now the planned innovation becomes a physical product or process. Therefore, since the product or process is expressed conceptually, it is now possible to prepare a prototype of the product. At this stage, R&D activities continue until the prototype of the

product is made. At this stage, in addition to the R&D department, all units of the enterprise take an active role and effectively fulfill their duties. The next step is to test the prototype produced. In this testing process, some corrections, improvements or improvements can be made if necessary. During the test, the business decides whether the product idea can be transformed into a technically and commercially viable product (Gök, 2012: 65).

***Implementation and Commercialization of Innovation:*** During the implementation phase, a prototype product is developed and market testing is conducted for the new product. In order to produce the new product smoothly and economically, the new product is developed in accordance with the previously defined concept and tested in the market with an identical prototype (Duran and Saraçoğlu, 2009: 66). The main purpose here is to identify the demand for innovation in the market, the usefulness of innovation and overlooked errors. Thus, by evaluating positive or negative thoughts towards innovation, deficiencies related to innovation are tried to be determined. In the commercialization phase, the innovation that successfully passes the implementation phase (in other words, the market test) is produced in large quantities, presented to the market and commercialized (Güleş and Bülbül, 2004: 186).

## INNOVATION MANAGEMENT

The era of rapid change we are in has affected the competitive conditions in which businesses are struggling and triggered changes in these conditions. The competitive strategies of today's businesses should be determined within the scope of customer needs, demands, expectations and changes. The success of businesses in innovating in the industry they are struggling with is associated with their expertise in strategy development. Therefore, innovation management is important for businesses (Durna, 2002: 6).

A brilliant idea or new knowledge is not accepted as innovation unless it turns into social and economic benefits. The process of developing knowledge and ideas and transforming them into products are stages in which highly complex relationships occur. The regular organization and management of these stages is called innovation management. The task of this management is to ensure that the innovation process runs smoothly within the framework of the system approach, to make controls, and to make joint interventions to the functions in the innovation process when necessary (Müller and Protmann, 2009; Çalık, 2015: 16).

Knowledge management, which is the most important tool of economic wealth and competitive advantage in the conjuncture of the 1990s, has left its place to innovation management since the beginning

of the 2000s. In this new order, the ability of organizations to continue their existence and achieve sustainable competitive advantage is directly proportional to their ability to implement innovation in their products and processes. In innovation management, it is necessary to determine how new applications will be, to make the process stages clear and understandable, and to determine changes in how the organization will be managed. The main purpose of innovation in management is to increase efficiency and productivity in organizational processes (Adams et al., 2006: 21-47).

Managing innovation must be a well-planned and foreseen process in every aspect. The innovation process is defined as the whole of activities that start with the formation of new knowledge, continue with the discovery of new products and processes, and end with commercial gains. The innovation process can only be successful when it is carried out professionally. The innovation process is open to being affected by many factors in different ways and levels. It is likely to encounter various obstacles, resistances and difficulties during the idea generation, realization and commercialization stages. In this framework, the way managers manage the innovation process may have a great impact on successful results (innovation performance) (Taşgit and Torun, 2016: 126-127).

Innovation management basically covers three areas (Gassmann, 2008: 6-14; Çalık, 2015: 16):

- Normative field; vision, mission, values and company culture.
- Strategic area; resources, technology, knowledge and skills of employees, market, customers, suppliers, collaborators and competitors.
- Operational area; organization and management performance of the innovation process, quality, price, time.

Many managers today do not look at innovation as a core business strategy. However, innovation should be seen as a powerful competitive weapon in shaping the business strategy. Because innovation can be used as a business strategy to grow and maintain existing product lines and as a growth tool to expand new product and business areas. In addition, managers can make their companies more innovative by reflecting both their own differences and the unique characteristics of the company to the business strategy in a way that can be distinguished from other companies. The original managers of the future use innovation management as the center of their competitive strategy (Kanber, 2010: 14-15). Therefore, the way to success in innovation management is through the creation and implementation of an efficient innovation strategy (Cormican and O'sullivan, 2004: 819).

## INNOVATION MANAGEMENT STRATEGIES

In today's conditions, the importance of innovation strategies is increasing for businesses that want to maintain their existence against their competitors and achieve sustainable competitive advantage through innovation activities (Özaydın and Boyraz, 2021: 859). In this section, the innovation strategies that organizations can implement in the innovation management process, which are widely seen in the literature, are included in the "aggressive", "defensive", "imitator", "dependent", "traditional" and "opportunistic monitoring" strategies (Tançiler, 2018: 58).

**Offensive Strategy:** The offensive innovation strategy is applied in order to act before the competitors in the creation of new products and new production processes and to take the technology and market leadership in the sector. Since science and technology are open and easily accessible to all businesses, following this strategy depends on a strong and independent R&D structure, special relationships, the ability to take advantage of new opportunities quickly and combine these advantages appropriately (Perks, Kahn and Zhang, 2009: 645).

**Defensive Strategy:** Defensive strategies try to respond to innovations and technical changes produced by competitors. That's why time is so important to practitioners. Because they must be able to act very quickly when the time comes in order not to fall behind their competitors. Education, on the other hand, is important for defensive strategies as it is for offensive strategies, and technical assistance and consultancy services are used for training purposes. In defensive strategies, a success that will be achieved by giving weight to advertising and sales-related technical services rather than research studies is more frequently preferred in defensive strategies (Zerenler et al. 2007: 663).

**Imitative Strategy:** Copycat businesses have no desire to "leap" or even "stay in the game". It is enough for him to watch the leaders of established technologies from behind, and often from afar. Imitative enterprises are enterprises that prefer to work with low labor, material, energy and investment costs and do not allocate much resources to R&D. The success of the enterprises that follow these strategies depends on the fact that their production costs are less than the others (Zerenler et al. 2007: 663). Therefore, businesses make strategic planning by imitating the same innovations of businesses that follow other innovations. Such businesses can generally be more successful in the market where the innovative strategy is not dominant and competition is not intense (Aslan, 2019: 15).

**Traditional Strategy:** Traditional innovation strategies consist of strategies applied in markets where competition is low and by static businesses. Businesses; anticipating the innovation opportunity in the

future and turning to the traditional innovation strategy in the long-term planning stage. In non-innovative markets, the need for innovation is extremely low, as competitors are not forced to make any changes and there is less demand for change from outside. In the traditional innovation strategy, businesses choose to address the needs of the consumer in the small market by making some changes in existing products and services, and not to the whole market, but to only a certain segment (Aslan, 2019: 15).

***Opportunities Monitoring Strategy:*** Businesses that implement this strategy look for the weaknesses of their competitors, just like in a military strategy. It can often be very difficult for one business to compete directly with another business on the same innovation. Therefore, by analyzing the weaknesses of the competitor, it is possible to use the same technological innovation as this company, to gain superiority in the weaknesses of the competitor and to increase the market share (Zerenler et al. 2007:664).

Organizations can apply one of these strategies, or they can apply more than one strategy according to the current situation and conditions, or they can change their current strategies. (Tankisi, 2018: 58).

## **CONTRIBUTION OF INNOVATION MANAGEMENT TO BUSINESS**

Today, innovation is considered as the long-term prerequisite of quality, efficiency and flexibility, forming the basis of sustainable business success. Innovation provides benefits such as gaining superiority in an intense competitive environment, reducing costs, increasing market share, increasing quality, facilitating entry into new markets, obtaining economic value from information, improving working conditions and shortening product/service production times (Uzkurt, 2010). 30).

Businesses can increase their productivity and profitability as a result of the advantages obtained through innovation. In addition to increasing the satisfaction level of customers, employees and shareholders, this situation enables businesses to gain sustainable competitive advantage in entering new markets and increasing their market shares in existing markets (Kuczmarski, 1996: 9). Innovation also provides some benefits to society and the economy. Benefits such as increasing social welfare, increasing the quality of life of citizens, increasing economic growth, increasing employment, finding new resources, using existing resources effectively, increasing regional development, making entrepreneurship interesting and decreasing a country's dependence on foreign sources are seen as the benefits of innovation (Uzkurt). , 2010: 32).



For businesses, innovation is an important competitive tool that increases profitability and productivity, ensures entry into new markets and maintains and expands its current market share. The economies in which businesses with high profit levels, productivity and competitiveness operate will develop and develop faster and provide a competitive advantage globally. As a result of this, innovation for countries is an important factor that will ensure sustainable growth, increase in the quality of life and social welfare, and increase the level of employment (Elçi, 2006: 2). Innovation is an element that increases the dependence of the company on competent employees and customers and ensures customer satisfaction. Thus, the development and survival power of a non-innovative firm will be lacking (Gökçe, 2010: 2).

Considering the benefits of innovation to businesses; It is seen that it is not a simple phenomenon, but a process that affects each other or is affected by cause-effect relationships with each other. For example; A business can reduce its costs with innovation, increase its profitability with reduced costs, and increase productivity at the same time. It can provide a competitive advantage by increasing its profitability, and in cases where it is superior in competition, it can increase its market share or discover new market environments. As can be seen, the innovation did not affect a single variable, but created a process with variables affecting each other (Yılmaz, 2021: 17).

## **FACTORS BARRING INNOVATION AND INNOVATION MANAGEMENT**

There are many factors that hinder innovation. There may be reasons why businesses do not take steps to innovation activities, or there may be some factors that hinder the progress of these activities or negatively affect their expected results. These hindering factors are; While it can be economical such as high costs and insufficient demand of the customer, it can include regulations and tax rules and legal factors such as lack of qualified personnel and information (Küsbeci, 2013: 53). According to the Oslo manual (2005), the factors that prevent or may hinder innovation are stated as follows (Aktaş, 2018: 27-28).

**Cost factors:** It can be expressed as high risk, high costs, insufficient capital within the enterprise and insufficient external capital in the enterprise.

**Knowledge Factors:** Inadequacy of innovation studies, inadequacy of qualified employees, inadequacy of technology, difficulty in recognizing the market, inadequacy in outsourcing of information and services, incomplete cooperation in process innovation, inadequacy in marketing distribution activities, incompatibility of employees in innovation, management's



unwillingness to innovate, administrative function of the entrepreneur, directing employees to production can be expressed as an innovation flaw.

**Market Factors:** The uncertain demand for innovative products can be expressed as a market with a market dominance.

**Institutional Factors:** Inadequacy of facility equipment, lack of patents and licenses, legal authority regulations and scope.

**Other Factors:** Sufficient existing innovative processes can be expressed as insufficient demand for innovative products.

Barriers to innovation vary according to the structure of the firm and external factors as long as the enterprise exists. Four main factors that hinder innovation and innovation management can be listed as follows (Karaçelebi, 2013: 51):

- In many companies, innovation is seen as an instant idea generation activity, not a process, and therefore no action is taken to improve the process; failure to inject the right process, tools and managerial decision mechanisms into the entire process. Focusing only on idea generating tools,
- The hunger for success, as well as the lack of tolerance for mistakes and therefore the unwillingness of employees to take initiative in projects. Failure to adequately differentiate between controlled risks that can be managed and uncontrolled risks that are not managed; perceptions of employees that they can secure a successful and long career without taking risks,
- Lack of consensus on the definition of innovation. For example, the differences in research, incubation, product development, or innovation type differences such as radical innovation, process and production technology improvement, partial improvement in the product, cost reduction are not defined correctly or adequately and correct, value-based prioritization is not made by associating the projects with the projects at the beginning or idea stage,
- For many years, it is the habit of employees towards a work culture that focuses on reducing financial costs, increasing production efficiency and reducing costs, and prioritizing evaluations for opportunities to increase value.

## CONSIDERATIONS IN THE INNOVATION MANAGEMENT PROCESS

Some considerations should be taken into account in innovation management. Paul Sloane, in his studies, mentions some advisory points to be considered in the innovation management process (Çetin, 2019: 40-43). These;

- Having a vision for change should be a goal of innovation. This aim should be known by everyone who is a team member, and the work done should be in this direction.

- Fighting fears for change, a business must take risks and constantly innovate to become better even if it is doing a job very well.

- Thinking like an entrepreneur and seeking innovation in the product or service produced are indispensable today. Some innovation studies tried while in search of innovation may have resulted in failures. This is a normal situation due to the nature of the business.

- It is important to have a dynamic suggestion plan, and to get out of any problem as soon as possible with a dynamic suggestion plan.

- Sometimes it is necessary to take radical decisions in terms of innovation in order to break the rules and respond to the demands of the customers.

- Giving everyone two jobs should have two goals for everyone working in communication. Finding new methods by doing research on how to do his current job in the best way and how he can do his job better.

- Collaboration is a production team game. It is very important that teams work collaboratively.

- To welcome failure, to try innovations can also result in failures. People's mistakes should be welcomed and encouraged to work harder if success is to be achieved.

- Prototypes should be created and tested in the market at low costs in order to set up prototypes and test how new ideas in production or service will find a response in the market.

- Being ambitious will definitely be obstacles while working in the field where innovation is desired. It takes ambitiousness to tackle and overcome all obstacles.

## CONCLUSION

In the rapidly changing and constantly developing global world, businesses are also affected to a certain extent. Some companies are affected positively by these changes, while others are negatively affected by losing power or disappearing completely. For this reason, it has been inevitable for enterprises to realize innovations. Innovation helps businesses discover new markets or update and improve their position in the market and develop new products (Yılmaz, 2021: 16).

Today, innovation-oriented organizations gain a significant competitive advantage and rapidly increase their share in the global

market. Although these organizations have different types or degrees of innovation, their common denominator is that they have an innovative organizational culture. Building blocks of an innovative organizational culture; It consists of an organizational structure open to innovation, training and development opportunities offered for all levels of employees, innovation symbols, ceremonies rewarding innovative behavior, and an institutionalized innovation management and control system (Akyürek, 2020: 17). In addition, it is necessary to develop some methods that will lead employees to innovation, make plans and post-use services should be considered within the scope of innovation management (Doğancılı, 2018: 50).

Innovation management requires the determination of innovation-related goals, planning and implementation. Realizing that innovation management is a process within the plan, it is necessary to organize the phase of creating new ideas and the implementation of these ideas well (Özdaşlı, 2006: 13). In order for managers to effectively manage the innovation process, they need to effectively use the leadership characteristics, expertise and skills that shape their management styles. It is thought that it will be possible to professionalize innovation, management and increase innovation performance (Taşgıt and Torun, 2016: 127).

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# Chapter 15

## STUDY OF THE ACUTE EFFECT OF VIBRATION TRAINING ON ACCELERATION

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## Introduction

Football, which is one of the most popular branches in the world, day by day, has become a branch which is played faster and reaching a fast result. The new training methods started to be applied, to increase the speed. One of the methods is the whole-body vibration (TVT) training method. The whole-body vibration is defined as ‘the application of mechanical oscillations to the body via a vibration platform’(Tomas et al. 2011). When the vibration is applied to a muscle, it causes a reflexive contraction, called the tonic vibration reflex(Mester ve diğ., 2006). A few seconds after the vibration is applied to the muscle, reflex contractions start and these contractions increase gradually and continue at a constant level(Latash,1998). There are studies that the whole body vibration training provides acute and chronic adaptations and improvements in the different populations, and it has a positive and improving effect on the speed(McBride et al. 2010). The vibration as an exercise and training technique is applied in two different methods. The first one is called local vibration application. The vibration is directly applied to the widest part of the muscle(Moran et al. 2007). In the second method as a called whole-body vibration, the vibration is applied by a source of vibration away from the target muscle (Roelants et al. 2004). the studies are shown that whole-body vibration applications make positive contributions to sprint performance(Yetter and Moir, 2008).

Acceleration is the rate of the change in speed that provides the player to reach maximum speed in minimum time. Maximum speed is the maximum speed at which a player can run. It is important to reach maximum running speed and acceleration for the athlete’s success. More strength and conditioning programs are key elements in training to reach high speed, and as a typically improve the essential two elements of the speed. These are acceleration and speed. As previously mentioned, acceleration is the defined as the rate of the change in the speed and Frequently measured by evaluating sprint performance over short distances such as 5 or 10 yards (4,572 m or 9,144 m)(Murphy ve diğ., 2003).

There are significant advantages that reach to maximum speed earlier or has a greater acceleration in many sports(Young et al. 2002). Speed can be quite complicated in football, it needs more than running speed.

Quick response speed, 10-15 m. In it, fast acceleration, good speed endurance, sprint velocity in possession of the ball, or quickness, ability to quickly change direction are important. Football speed training program improves the efficiency of muscle fibers and makes them faster. So the target of the speed training must be increased sprint force, which improves acceleration and response speed. Football players rarely do sprint more

than 50meters in a straight line. Football is a multiple sprints sport and during the 90 minutes, occurs more than one sprints(Weineck, 2011). Our study aims to reveal the acute effect of whole-body vibration training on acceleration in athletes who play active football.

## **Material and method**

### **2.1. Selection of volunteers**

Thirty healthy male football players selected by random sampling method between the ages of 18-24, who play active football in the Yozgat city süper amateur league, participated in this study, which was conducted to examine the acute effect of vibration training on acceleration. The measurements were made in a different three days, after the warm-up training.

This study was supported by Erciyes University Scientific Research Projects Unit with the Project no TDK-2015-6048. Prior to beginning the study, the permission was granted by the ethics committee permission no (2015/132), from the Erciyes University Clinical Research Ethics Committee. All volunteers were informed about the Project, it was taken informed volunteer form.

### **2.2. Collection of the data**

From the super amateur teams of Yozgat, Provincial private Administration and Yemenoğlu Yozgatspor football teams' volunteer football players, participated in our study. It took three weeks to collect the data. 30 meters sprint running was completed on the first training day, 100 meters running was completed on the second training day.

#### **2.2.1. The data collection tools**

The vibration training was carried out using the DNK technology brand XG10 model, which can generate vibration at different time periods. The acceleration was measured with the Cronides brand PT 104 model 10-door photocell. The volunteers' weights are measured with the Tanita brand BIA device with 0.1 precision as bare feet and shorts. The height was measured with the device with 0.01 sensitivity, the height scale on the scale, as bare feet. The ages were recorded with the verbal statements of the participants.

### **2.3. The whole-body vibration application**

The whole-body vibration was determined as 30 Hz. During the whole body vibration application, static vibration was applied for 30 seconds in the basic squat position of the participant. After the completed vibration application, it was given 30 seconds of passive resting time. At the end of time, the participant waited as static in the calf raise position. After the

completing vibration application, it was given 30 seconds resting time and at the end of the time, the vibration was applied to the right leg as static in the one leg squat position. After the completing vibration application, it was given 30 seconds resting time and with the end of time, the vibration was applied to the left leg as static in the one leg squat position. At the end of the vibration, 30 meters running test was applied. This vibration training protocol was applied in the same way in 100 meters running.

#### **2.4. Measurements of acceleration**

The acceleration was measured by Cronides brand PT 104 model 10-door photocell. for 30 meters running, photocells were placed every 3 meters up to the 18th meter, after the 18<sup>th</sup> meters it was placed every 4 meters. For 100 meters running, it was placed every 10 meters.

At the starting point, the athlete took a standing position with one knee in front and the other back in a linear standing position. The athlete was asked to stand in the appropriate position 1 meter behind the starting point and was told to run out of the blocks as soon as he felt ready. Measurement results were recorded in seconds.

#### **2.5. statistical evaluation**

In the study named “analyzing the acute effect of vibration training on acceleration”, the data obtained as a result of the measurements were analyzed using the SPSS 22.0 package program for Windows, and the significance level was taken as 0.05.

parametric and non-parametric patterns of data were analyzed. There are 30 athletes. Since these numbers are below 50, the Shapiro-Wilk table was checked. According to the Shapiro-Wilk table; parameters have normal distribution since there are ( $p < 0.05$ ) parameters. A non-parametric test was applied to this data.

Descriptive statistics for all measurements of the athletes were calculated. The arithmetic averages and standard deviation values of the athletes' measurements with 30 meters and 100 meters running before and after vibration training were calculated separately with the descriptive statistics test.

Comparison of the significance of running 30 meters-100 meters before vibration training and 30 meters-100 meters after vibration training was calculated with the Wilcoxon signed ranks test.

Findings

Table 3.1. Arithmetic avarage and standard deviation values of demographic measurements of athletes.

parameters	N	x±sd
Age ( years)	30	19,93±1,46
Boy (cm)	30	1,77±,055
Body weight(kg)	30	72,90±8,57
Athelets age (year)	30	6,66±1,93

the athletes of ,participating in the study,Average of the age is 19,93±1,46 years, avarage of the height is 1,77±,055 cm, Avarage of the body weight is 72,90±8,57 kg, and athletes age is 6,66±1,93 years.

Table 3.2 the athletes' 30 m. Running values before the vibration training and after vibration training.

parameters	N	Before the vibration	After the vibration	Z	P
distance		x±sd	x±sd		
3m	30	0.69±.081	0.70±.06	-.919	.358
6m	30	1.19±.09	1.21±.06	-.699	.484
9m	30	1.63±.10	1.66±.07	-1.100	.271
12m	30	2.05±.11	2.10±.11	-1.563	.118
15m	30	2.44±.12	2.48±.08	-1.234	.217
18m	30	2.83±.14	2.87±.10	-1.100	.271
22m	30	3.33±.15	3.38±.11	-1.244	.213
26m	30	3.83±.17	3.88±.13	-1.440	.150
30m	30	4.34±.20	4.39±.15	-1.244	.213

When the table 3.2 invastigated, there is no sginificant difference between the 30 meters running and after the vibration training. (p>0,05).

Table 3.3 30 m. Sprint time of the Each gate transition time (miliseconds).

Distance (m)	0-3	3-6	6-9	9-12	12-15	15-18	18-22	22-26	26-30
Before the vibration training (ms)	69	50	44	42	39	39	50	50	51
After the vibration training(ms)	70	51	55	44	38	39	51	50	51

Table 3.3 while The fastest distance before vibration training is 12-18 m. ,The slowest distance is 0-3 m. after the vibration training, values, the fastest distance is 12-15m. The slowest distance is 0-3 m like the before the vibration training.

**Table 3.4** *the athletes' 100 m. Running values before the vibration training and after vibration training.*

parameters	N	Before the vibration	After the vibration	Z	P
distance		x±sd	x±sd		
<b>10m</b>	30	1,80±,15	1,81±,18	-,695	,487
<b>20m</b>	30	3,12±,19	3,14±,21	-,961	,337
<b>30m</b>	30	4,37±,24	4,40±,25	-,888	,374
<b>40m</b>	30	5,59±,30	5,65±,30	-1,275	,202
<b>50m</b>	30	6,84±,37	6,93±,37	-1,457	,145
<b>60m</b>	30	8,05±,45	8,14±,42	-1,460	,144
<b>80m</b>	30	10,70±,59	10,78±,55	-1,731	,084
<b>90m</b>	30	12,04±,66	12,14±,63	-1,913	,056
<b>100m</b>	30	13,44±,75	13,50±,68	-1,366	,172

When the table 3.2 examined, there was no significant difference between the 100 meters running and after the vibration training.

**Table 3.5** *the athletes' time of the 100 meters sprint ,in every 10 meters transition time (seconds)*

Distance (m)	0-10	10-20	20-30	30-40	40-50	50-60	60-80	80-90	90-100
<b>Before the vibration training(sl)</b>	1.80	1.32	1.25	1.22	1.25	1.21	2.65	1.34	1.40
<b>After the vibration training(sl)</b>	1.81	1.33	1.26	1.25	1.28	1.21	2.64	1.36	1.36

Table 3.5. while The fastest distance before vibration training is 50-60m. ,The slowest distance is 0-10m. after the vibration training, values, the fastest distance is 50-60m. The slowest distance is 0-10 m like the before the vibration training.

### Discussion and conclusion

Sprint speed and acceleration attack and defense are very important for performing effective double combat and avoiding injury. During the runaway And outdistance of the competitor, Acting with an explosive exit, quick dribbling, swinging, and many defensive actions are performed depending on the sprint speed. It is also possible with explosive and rapid dribbling and acceleration to make a successful crossing the ball(Baker and Nance 1999).

To reveal the acute effect of vibration training on acceleration, active football players, participating in the study, the average age is  $19,93 \pm 1,46$  years, a height average of  $1,77 \pm 0,055$  m, weight average of  $72,90 \pm 8,57$  kg. and athletes' age is  $6,66 \pm 1,93$  years.

During the competition, all sprints and covered distances change depends on the player. While Some players run a long-distance sprint, also some players run short distance sprint. As a result, the analysis of various studies shows that the players, on average, run 40-100

sprint during a match. It appears these values are exceeded in some conditions. In 1988, In the European football championship in Germany; It is seen that game applications are performed mainly with sprints ranging from 0-5 m. Also, sprints between 5-10 m, 10-20 m with twice the distance, and sprints over 20 m with approximately 5 times more distances were performed (Baker and Nance 1999).

In this study, in the 30 meters running distance, There was no statistically significant difference between measurements before and after vibration training. Also, in the 100 m. sprint and acceleration time, measured the every 10 meters transition time, There was no significant difference between measurements before and after vibration training.

In Darryl et al. (2004) 's study, they stated that athletes did not show improvements in sprint performance after 9 days of TVT training.

Kavanaugh et al.(2011) could not find a statistically significant relation in the study where they evaluated 45 sprints performance which is applied 50Hz during the 30 seconds, 3mm amplitude.

Colson et al.(2010) In the study aiming to find the effect of whole-body vibration on the performances of basketball players, vibration training was applied at 40 Hz frequency and 4 mm amplitude for 4 weeks. As a result of the statistical processes, no statistically significant relationship was found in 10 m sprint performance.

Yılmaz and işler(2013) stated that acute whole-body vibration at different frequencies applied to 15 healthy sports science students did not affect the repetitive short running performance. When The data, obtained in the studies, and the data obtained in this study, examined it is showed that both studies are in harmony with each other.

When examined the average of the 30 m. Running values of the athletes before the vibration training, it is showed that the maximum speed was reached at the 12th meter and this was continued up to the 18th meter. After 22nd m a little slowdown in speed, this was continued up to the 30th meter. While The slowest distance is 0-3 m, The fastest distance is 12-15.



Meters. After the vibration training, when the examined average of the 30 meters running values of the athletes, is similar to the previous values. it is seen that the maximum speed is reached at the 12th meter and this is continued up to the 18th meter. After 22nd m a little slowdown in speed, this was continued up to the 30th meter. While The slowest distance is 0-3 m, The fastest distance is 12-15. Meters like the before the vibration training.

In our study, 100 meters sprints running time results are similar in the before and after vibration training. It is seen that athletes finished the last 10 meters of the running distance in less time after vibration training. When the acceleration (speed change) graphic is examined, it is seen that they reach the maximum speed at 30-40 meters. While the speed is increasing and decreasing up to 60 meters after this distance the speed of the athletes slowed down and it is seen that the running distance is completed in this way. Before the vibration training, 10 meters transition times changes between 1.21 seconds and 1.80 seconds. After the vibration training, 10 meters transition times changes between 1.21 seconds and 1.81 seconds.

Hindistan(2015) examined the speed change graph of the athletes participating in the study, the maximum speed was reached at 30-40 m, the maximal speed was maintained up to 70-80 m steadily, It has been determined that the 100 m performance is completed with a large percentage of the maximal speed, showing a fast deceleration at 80-90 m and a slower deceleration at 90-100 m.

Kale et al.(2008) 13 volunteer male sprinters, taking part in the turkey athletics first and second league competition, participate in The study conducted to examine the relationship between the isokinetic criteria of the sprinters and the speed variables in the various stages of the 100 m sprint running. During the competition period of the sprinters, in the 100 m sprint runs, consecutive 10 m duration, every 10 m transition time and depends on the transition time the speed parameters and standard deviations reported. According to this, average 100 meters sprint running times  $11.48 \pm 0.27$  seconds, and 10 meters transition times change between 1.02 seconds and 1.95 seconds. While The athletes reaching maximum speed at 40-50 meters, they kept their speed at a certain distance and then slowed down and they completed running in that way.

In our study, according to distance ,30 meters sprint times are; 3. m  $69 \pm 0.81$  sn, 6. m  $1.19 \pm 0.09$  sn, 9. m  $1.63 \pm 0.10$  sn, 15. m  $2.44 \pm 0.12$  sn, 22. m  $3.33 \pm 0.15$  sn, 30. m  $4.34 \pm 0.20$  sn. after the training, sprint values are; 3. m  $70 \pm 0.06$  sn, 6. m  $1.21 \pm 0.06$  sn, 9. m  $1.66 \pm 0.07$  sn, 15. m  $2.48 \pm 0.08$  sn, 22. m  $3.38 \pm 0.11$  sn, 30. m  $4.39 \pm 0.15$  sn.

In our study, according to distance ,30 meters sprint times are; 10m.  $1,80 \pm 15$ sn, 20m.  $3,12 \pm 19$ sn, 30m.  $4,37 \pm 24$ sn, 40m.  $5,59 \pm 30$ sn, 50m.  $6,84 \pm 37$ sn, 60m.  $8,05 \pm 45$ sn, 80m.  $10,70 \pm 59$ sn, 90m.  $12,04 \pm 66$ sn, 100m.  $13,44 \pm 75$ sn. after the training, sprint values are: 10m.  $1,81 \pm 18$  sn, 20m.  $3,14 \pm 21$ sn, 30m.  $4,40 \pm 25$  sn, 40m.  $5,65 \pm 30$  sn, 50m.  $6,93 \pm 37$  sn, 60m.  $8,14 \pm 42$ sn, 80m.  $10,78 \pm 55$  sn, 90m.  $12,14 \pm 63$  sn, 100m.  $13,50 \pm 68$  sn.

In Little and Williams's (2005) study, The acceleration capability of professional football players was evaluated by running a distance of 10 meters as fast as possible and the acceleration result was found as  $1,83 \pm 0,08$  seconds. In the same study, The acceleration was evaluated as the time obtained for the first 10 meters, while the time to reach the maximum speed was evaluated as the time obtained for 20 meters.

Cochrane et al.(2004) in the study, examining the short-term effect of vibration training on vertical jumping, agility, and sprinting, while the 5,10 and 20 meters sprint times are determined as  $1.12 \pm 0.10$  sec,  $1.91 \pm 0.16$  sec and  $3.32 \pm 0.29$  sec, orderly, before training, after the vibration training sprints values were determined as  $13 \pm 0,08$  sn, for 5 meters,  $1.92 \pm 0,15$  sn for 10 meters and  $3,33 \pm 0,29$  sn for 20 meters,

Chaouachi et al.(2009) it was determined that 14 elite basketball players,  $23,3 \pm 2,7$  years old, have got 5 meter sprint time 0.82 seconds, 10 meter sprint time 1.7 seconds, and 30 meter sprint time 4.1 seconds.

Gabbett and Sheppard(2008) it was determined that 6 male and 8 female, 14 basketball player,  $16,3 \pm 0,7$  years old, have got 5 meter sprint time  $1,17 \pm 0,06$ seconds, 10 meter sprint time  $.95 \pm 0,09$  seconds and 20 meter sprint time  $3,34 \pm 0,15$  seconds.

Deleclusk(1997) in the study, examining 100 meters sprint running, it was considered that 0-10 meters as acceleration phase, the distance from 36 meters to 100 meters as the maximum speed, and the distance as the transition time.

Murphy et al.(2003), They reported that acceleration, which is the rate of change in speed, should be evaluated within 5 yards (4.57 meters) or 10 yards (9.14 meters).

Different measurement protocols were uses, and get different results, n the whole-body vibration studies. in TVT studies used as a pre-exercise protocol, an increase in contraction potential, an increase in power output, and an increase in strength are observed(Cochrane et al. 2010, McBride et al.2010, Rhea and Kenn,2009). interestingly, they observed an increase of 0.7% in 40 m sprint performance after the TVT applications followingly warming up before exercise(Yetter ve Moir 2008).

Rønnestad ve Ellefsen (2011) in their study, they applied overdose TVT before the training, and they determined an increase of %2,3, acutely. During the 30 seconds, they practiced 15 active squats at 40 and 50 Hz for 30 seconds, without vibration, and then sprinted 40 m after the squat performance. While there was no statistically significant relationship between the non-vibration group and the 30 Hz vibration group at 40 m sprint performance, they observed a statistically significant relationship between the 50 Hz vibration group and the non-vibration group. But they reported that athletes' sportive performances decrease the application of different TVT protocols will cause an increase in the effect and pressure after activation.

As a result, it shows that acute whole-body vibration training does not significantly affect the acceleration and sprint performance of football players. To achieve more certain results, it is thought that more effective results can be achieved by trying local or whole-body vibration training with different frequency and different movement types together with acute or chronic application options.

### **Suggestions**

1. Participants may not be defined as an elite football player. Issurin et al.(1999) stated that the elite athletes have a higher level of the central nervous system and muscle receptor sensitivity, so they are more accustomed to vibration training. Therefore, participants who are not accustomed to sprinting movements may show less progress when vibrating stimulation is applied. when viewed from this aspect, studies with more elite athletes may yield different results.

2. Also, in the study, it was aimed that examined the phases of the running cycle achieved at certain distances. Beyond doubt, The athletes' reaching maximal speed, maintaining maximal speed, and speed changes are a collection of complex metabolic, neuromuscular, and postural changes. The factors leading to the change in speed that occurs in the segments of the sprint performance need to be examined in detail.

3. The fact that TVT applied at this frequency has no statistical effect on the acceleration performance can be a result of the TVT application time. Da Silva et al.(2009) stated that short-term acute TVT applications of less than 1 minute may not have sufficient effect in moderately active individuals. We recommend high-frequency studies to achieve more effective.

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