

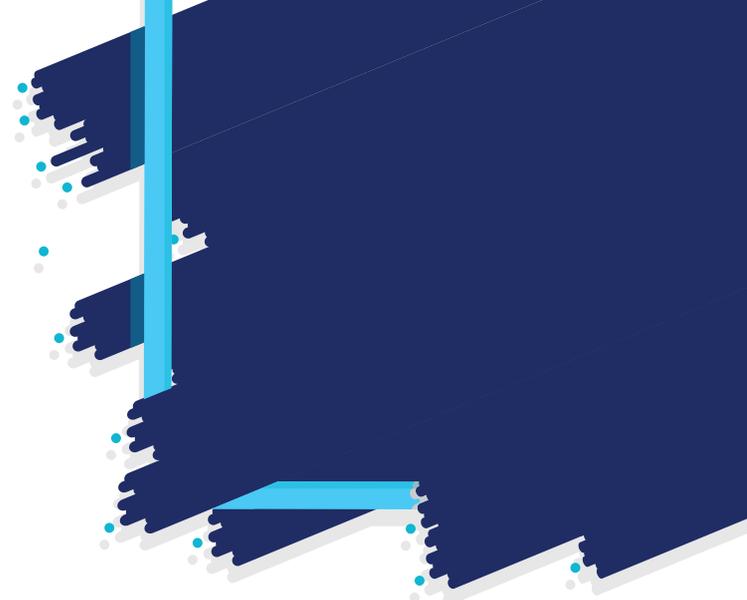


# New Horizons in Social, Human and Administrative Sciences

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# 2019



# New Horizons in Social, Human and Administrative Sciences

**İmtiyaz Sahibi / Publisher •** Gece Kitaplığı  
**Genel Yayın Yönetmeni / Editor in Chief •** Doç. Dr. Atilla ATİK

**Editörler/Editors •**

Prof. Dr. Sinan SÖNMEZ, Dr. Ertan ÖZÇOBAN , Dr. Dursun BALKAN,  
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**Kapak & İç Tasarım / Cover & Interior Design •** Didem S. KORKUT  
**Sosyal Medya / Social Media •** Arzu Betül ÇUHACIOĞLU

**Birinci Basım / First Edition •** ©EKİM 2019

**ISBN •** 978-605-80229-3-5

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**Gece Kitaplığı / Gece Publishing**

**ABD Adres/ USA Address:** 387 Park Avenue South, 5th Floor,  
New York, 10016, USA

**Telefon / Phone:** +1 347 355 10 70

**Türkiye Adres / Turkey Address:** Kızılay Mah. Fevzi Çakmak 1. Sokak  
Ümit Apt. No: 22/A Çankaya / Ankara / TR

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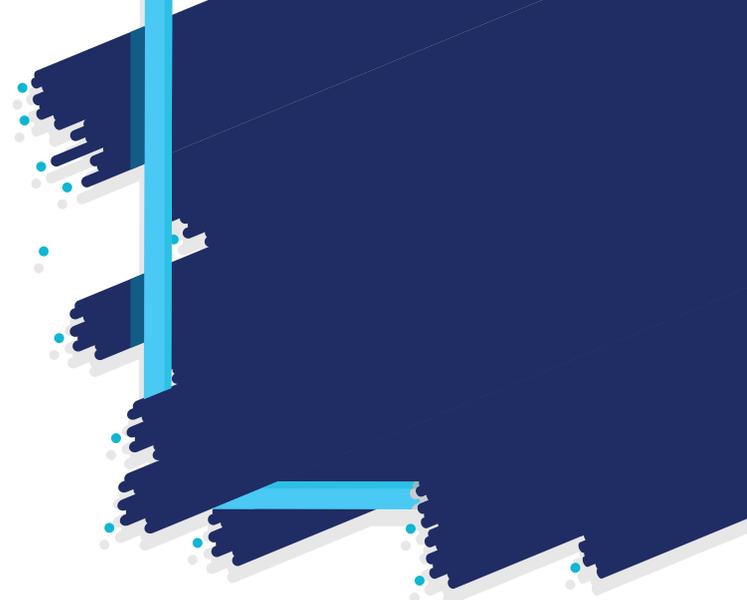
**web:** www.gecekitapligi.com

**e-mail:** geceakademi@gmail.com



**Baskı & Cilt / Printing & Volume**

**Sertifika / Certificate No:29377**



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**EXAMINATION OF ADMINISTRATIVE  
GUARDIANSHIP IN TERMS OF LOCAL  
GOVERNMENTS IN THE CONTEXT  
OF PRESIDENTIAL GOVERNMENT  
SYSTEM**

**Abdullah AYDIN**



**CHAPTER 1**





# **EXAMINATION OF ADMINISTRATIVE GUARDIANSHIP IN TERMS OF LOCAL GOVERNMENTS IN THE CONTEXT OF PRESIDENTIAL GOVERNMENT SYSTEM**

**Abdullah AYDIN**

## **INTRODUCTION**

As a result of the referendum held in 2017 and the presidential election held in 2018, the parliamentary system was transferred to the “Presidential Government System”. With the Presidential Government System, the two-headed executive system was changed to a single executive system. This situation has led to serious changes in Turkey’s traditional management approach. It would be wrong to evaluate this change only in terms of the central government. This change in central government will also affect the functioning of local governments. At the same time, in accordance with the integrity of the administration, each unit affects each other in some way. So much so that the impact of the center on the local area has to be reconstructed at many points. At many points, local government decisions taken by multiple signing methods are now being taken from one hand and change has made new explanations compulsory at certain points. In this framework, the study includes the changes in the new system brought about by the administrative tutelage which is an effective and important concept in the Turkish local government system.

## **New Presidential System of Government in Turkey**

The Presidential Government System, the general name of the system of state-centered organization of the administration of the state, is mainly based on a sharp separation between the legislative, executive and judicial bodies of the state. This distinction is under constitutional guarantee. As the executive position, the President is responsible for the good functioning of the legislature and the judiciary and the implementation of their decisions. In this context, each power is given certain powers and powers to balance each other and to have a control mechanism between them. On the other hand, one of the main features of the Presidential System is that the President is directly elected by the public (presidentssystem.org, 25.11.2018). This situation increases the legitimacy of the executive before the public.

The historical, social and political experiences of the countries governed by the presidential system in the world have led to a unique understanding of governance for each country. Although different implementation models

are mentioned, the United States (USA) is the first country that comes to mind when it comes to the Presidential System (Yaman, 2014: 84).

In an environment of severe separation of powers, the effective and efficient execution of state affairs is somewhat difficult because of balance. In this context, one of the effective sources of power, in contrast to the powers of the executive, such as the legislative power of the judiciary, to manage the law at the hands of the judiciary, is to identify civil servants who will manage or assist the state together.

The parliamentary system based on the soft separation of forces has been implemented in our country for nearly a century in the classification of government systems which have developed according to the principle of separation of powers defined at the point of separation of legislative, executive and judicial powers. However, especially for a quarter of a century, the current system has failed to solve the systemic problems it faces in practice and has started an intense debate about the need to design a new system for our changing and developing country (Kilinc, 2016: 510).

Since the founding of the Republic of Turkey in the government system change proposals, it was presented. With the 1921 Constitution, the Parliamentary Government System was preferred. With the amendment made in this Constitution in 1923, the system began to change. The 1924 Constitution and the Parliamentary System and the Parliamentary Government System were mixed and the 1961 Constitution passed into a pure parliamentary system. With the amendments made to the Constitution in 1971 and 1973, the separation from the parliamentary system began and there were serious deviations from this system with the 1982 Constitution. These deviations are expressed as rationalized parliamentarism (Kilinc, 2016: 501). The long years of government system change debate in Turkey are usually carried out in a presidential system. The proposal for the presidential system was first included in the program and by-laws of the National Order Party (Milli Nizam Partisi) established in 1970 under the leadership of Necmettin Erbakan. This proposal was later voiced by Turgut Özal, Süleyman Demirel, who served as Prime Minister and President, and finally Recep Tayyip Erdoğan (Demirhan and Adıgüzel, 2016: 187-188; Akman, 2019: 40).

Particularly after the troubles experienced during the presidential election process in 2007, the election of the president by the people was accepted and the views of the current system evolved towards the semi-presidency rather than the parliamentary system. After this point, it is time to replace the discussions on the system with a new system in line with the current conditions and needs of our country and Justice And Development

Party (Ak Parti) and Nationalist Movement Party (MHP) have accepted the presidential government system they prepared together with the April 2017 referendum (Akinci, 2018: 6). In a referendum held on April 16, 2017, after the realization of the constitutional amendment June 24, 2018, held on the Presidential and Parliamentary General Elections result in Turkey both legal and has switched to the new system of government called the Presidential System of Government de facto. The discussions on this issue should be evaluated on two main axes: the first is the assessments before and after the 2017 constitutional amendment and the second is the legal arrangements made before and after the elections on 24 June 2018 (Turan, 2018: 43; İzci and Yılmaz, 2019: 75).

### **Concept of Guardianship**

The concept of guardianship or tutelage, which is a private law term in its essence, refers to the control of a person authorized by the law in order to protect and protect the interests of those who are underage and restricted, such as underage (Önen and Eken, 2016: 2018). When we look at the Turkish equivalent, it is possible to add the word custody from the Arabic language, to come side by side; derives from the root of vasy, which means asking someone to take on a job. Guardianship refers to the authority and responsibility of protecting and operating the property of those who do not have a driver's license or those whose qualification is subsequently restricted, or that a person is given this authority and responsibility by a parent-judge.

The relationship of guardianship with the concepts of testament, power of attorney and custody is important for determining the content.<sup>1</sup> The tutelage is seen as a kind of testament in the literature because it is probably the beginning of the tutelage that derives from the same root as the testament in Arabic and the most common example is that the father or grandfather authorizes a testator for the deeds left behind after his death, and the other types are included in the doctrine in parallel with the emergence of needs. However, in the testament, the owner, after the death of his property to a person or charity by means of gratification, the guardianship of the guardianship with the appointment of the guardian on a person under the custody of someone in the custody of financial supervision is authorized after death. When the issue of guardian assignment is added by the judge for the minor, as well as other unqualified and incompetent persons, the tutelage extends far beyond the mainframe of the will. Another concept, the power of attorney, is the closeness of meaning between guardianship.

<sup>1</sup> This part is important because these four concepts are very close to each other in terms of spelling and reading in Turkish and naturally in Arabic. In this context, the words in Turkish are as follows: vesayet, vasiyet, vekâlet and velâyet.

The power of attorney is that a person authorizes someone to do a job in his or her name while he is alive (Islamic encyclopedia, 2019).

### **Concept of Administrative Guardianship**

The concepts of hierarchy and guardianship refer to opposite situations for administrations. The principle of hierarchy is based on the reason of existence, the principle of the integrity of administration. Therefore, the integrity of the administration principle is important. This principle is clearly seen in Article 127 of the Constitution. As a matter of fact, there are two legal instruments: guardianship and hierarchy to ensure the integrity of the administration. Administrative tutelage ensures the integrity between the central administration (state) and the decentralization institutions. Hierarchy, on the other hand, provides integrity between various authorities and units within a single legal entity (Gözler, 2018: 197).

Although the concepts of autonomy and administrative tutelage seem to be opposites, they are balancing each other. Both concepts are the defining element of the concept of local administration. In order to talk about the concept of local administration, these two elements are needed together. In order for an organization to become a local administration, it must have autonomy in the face of central administration. An organization affiliated to the central administration or an organization under the hierarchical control of the central administration shall not be considered as local administration. However, an organization that is fully independent of the central administration cannot be described as local administration. For if a local administration becomes independent of the central administration, it ceases to be a local administration. (If it also obtains legislative and judicial powers, it can become a federal state or a state on its own). There is a simple answer to this question: Since the tutelary authority is and is limited to the law, the authority of the tutelage authority consists of the powers granted to him by law for this purpose. In that case, it is not possible to enumerate the powers that are within the scope of the guardianship authority, that is, the powers that the guardianship authority can use in general, in every country (Fenoğlu, 2018: 28-29). In each country, the guardianship powers of each guardianship authority are determined by the laws of that country. If there are no such laws that determine the authority of guardianship, the central administration has no guardianship authority over that local administration. When the various laws are examined, it is seen that the central administration authorities have been given various tutelage powers over the local administrations (Gözler, 2018: 174-175).

## **Administrative Guardianship Application in Turkey**

Administrative tutelage applications in Turkey has been shaped over the controls. Administrative guardianship supervision is an exceptional authority and applies only in certain cases. This authority can be used by the guardianship authorities in the form of cancellation, approval, postponement, permission, requesting re-negotiation and correction of the operations of the management institution or it may be used in the form of the authority of the administrative judicial authorities against the decisions of their bodies (Akçay, 2018: 52). However, as a rule, guardianship authority does not give the central administration the authority to take decisions regarding the enforcement by replacing the local administration institutions. As a matter of fact, when Turkish law is examined, it is possible to see that this is stated in the constitution.

The provision of Article 127, paragraph 7 of the Constitution, which states that the central administration has administrative guardianship authority over local administrations, clearly states who can use the administrative guardianship. So based on this provision tutelage of local governments may have only centralized management (Gözler, 2018: 196).

### **Administrative Guardianship Supervision of Municipal Administrators on the Municipality**

It will be possible to list the administrative guardianship audits of the municipal governors in the following headings:

- A. *Administrative Guardianship Inspection on the Decisions of the Municipal Assembly:*** The guardianship authority of the Governor and the District Governor on the decisions of the Municipal Assemblies is at the forefront of the issues discussed almost every period. Law no. 5393 on the Municipal Assembly Article 23 and Law No. 5126 of the Metropolitan Municipality In accordance with Article 14, the decisions of the Municipal Assembly and the Municipal Assembly of the Big City, the decisions are finalized within seven days from the date of finalization of the decision should be sent to the highest local administrative authority has been brought. According to these two regulations, the administrative guardianship authority of the municipal governors on the decisions of the municipal council was completely abolished except in special cases specified by law. It is only on the condition that the decisions of the municipal councils can be put into effect if they are sent to the local governor. In fact, before the cancellation of the Constitutional Court as of 04/02/2010, the administrative director

may apply to the administrative judiciary against the decisions he deems unlawful in Article 23 (5) of Law No. 5393 and Article 5 (14) of Law No. 5216. , provision was included. However, this provision was annulled. In spite of this provision, the local governor may apply to the administrative judiciary against the decisions of the municipal council. However, in the case of cancellation, it will be necessary to violate the interests.

An exception to this is stated in Article 81 of Law no. according to the provision of this article; the decisions of the Parliament regarding the naming of streets, streets, squares, parks, facilities and the like and the identification of emblems, pennants and the like to introduce the town shall only come into force with the approval of the local administrative authority.

**B. *Finalization of Municipal Borders and Boundary Disputes:*** Determination of the boundaries of newly established municipalities According to Article 6 of Municipal Law No. 5893; The boundaries of the municipality are finalized with the approval of the governor upon the decision of the municipal council and the opinion of the district governor.

According to Article 7, which regulates border disputes; in case of disagreement, it is seen that the municipal council and village council and the district governor's opinions are left to the approval of the governor. According to these provisions, it is seen that the final decision was left to the governor despite the opinions of the municipal council and village elders.

**C. *Unification or integration of towns and villages:*** According to Article 8 of the same law, which regulates the unification or participation of a town or village with another town or village; this process starts with the application of one more number of voters to the governor and if the result of the referendum is positive, the governor sends the documents to the municipal council. In case the municipal council approves, the new limit shall be made in accordance with the provisions of Article 6. According to this law, the governor became the governor of the merger or participation process of local government units.

Likewise, according to Article 9 of the Law; Establishment, abolition, merging, division of neighborhoods within the municipal boundaries, determination, and alteration of their names and borders shall be with the decision of the municipal council and the approval

of the governor upon the opinion of the district governor. However, according to Article 10; with the decision of at least three-quarters of the total number of members of the municipal assembly and the approval of the Ministry of Interior upon the opinion of the governor.

- D. *Ways of Obtaining and Inspecting the Assembly:*** According to Article 26 of Municipal Law No. 5393; If the explanations in the activity report of the previous year submitted by the mayor to the parliament are not deemed sufficient by the majority of the three-quarters of the total number of members of the council, the minutes covering the negotiations with the decision of inadequacy shall be sent to the local administrative authority by the deputy chairman of the council. The Governor sends the file to the Council of State together with the reasoned opinion. Here too, the supervision authority of the parliament was left to the approval of the governor.
- E. *Termination of Municipal Council Membership or Mayor:*** In case of dismissal of all members of the municipal council together with the Mayor, the deputy chairman may not be elected according to the forty-fifth article of the same law. According to Article forty-six, the mayor is appointed by the Minister of Interior in the metropolitan and provincial municipalities, and by the governor in other municipalities (districts and municipalities).

### **Administrative Guardianship System in the new context of presidential government in Turkey**

The presidential system of government, the Republic of Turkey to implement the management model in a long time since the abandonment of the regime, which carries the meaning of parliamentary government. With this change process, it is stated that it is one of the primary objectives of the administration to achieve a more efficient, efficient, transparent and accountable structure. So much so that the change for an effective and efficient administration is manifested as the unification of the executive under one roof. There is no doubt that the second part, which is one of the indispensable tools of establishing a transparent and accountable administration approach, is an effective audit activity. For this reason, re-interpretation of the concept of administrative tutelage is obligatory. Because a strong executive and legislature will only lead to a strong central government. To put it more clearly, the transition to the Presidential government system triggered a major transformation of the administration, the will and motivation of the new administration system for institutional transformation is high and the time and the ground for reorganization are

taken into consideration, eliminating the complexity of duties and powers arising from the multi-headed structure condition. It is important that the guardianship authority is defined as an effective control and monitoring tool for local administrations, harmonized with stakeholders such as strategy development and financial control, external audit, clearly defined limits, and standards, and aims to evolve into a structure where professional specialization and development is prioritized (Saygın and Yamak). , 2018: 11-12). At this point, single custody of the guardianship system or leaving it to the executive may bring serious problems. Two alternatives may be developed within this framework.

The first problem is the establishment of a stronger local government system and discussion of the classification of the units of guardianship supervision in the minds rather than functional elements in terms of institutional or organizational structures. In this way, the audit work will not be performed by a certain group or only by a narrow environment. As Turkey's democratic culture in the country that management only be done by a certain hand of supervision and follow-up work will bring about certain issues. However, in particular, supervisory boards or organizations to be established by independent administrative authorities or experts and independent persons will relieve the legislative and executive hands of both administration and democracy.

Second, Turkey's constantly there may be more limited administrative tutelage of the strengthening of local governments on the agenda. First of all, it may be preferable to strengthen local governments. Or the audit can be graded. The statement in the Constitution clearly states that administrative tutelage will be used by the central government. However, this expression is in fact ignored in certain aspects. In this perspective, the fact that the actual situation becomes constitutional may be a way out for administrative tutelage.

## **Conclusion and Evaluation**

The Presidential Government System, which has been in effect for one year in 2019. But it has still has many deficiencies. It is obvious that this transition process will continue for another period. These shortcomings and the prolongation of the transition process have now begun to be discussed with certain points of the system and even offer to give up.

Along with the presidential government system, there has been a radical change in the Turkish administration system. Considering the limitations of this study, local government central government relations also have to take a new form. Because there has been no change to date. It is quite

normal that administrative tutelage, which is an important concept of the old system, continues to exist in the new system. However, it is important to adapt and reinterpret this old concept to the new system. In this context, the first of the two proposals presented in the study; the second is to strengthen the local administrations by strengthening the supervision. Finally, the biggest problem of the new system in all areas, not only in the context of administrative tutelage, is that the transition process is not completed.

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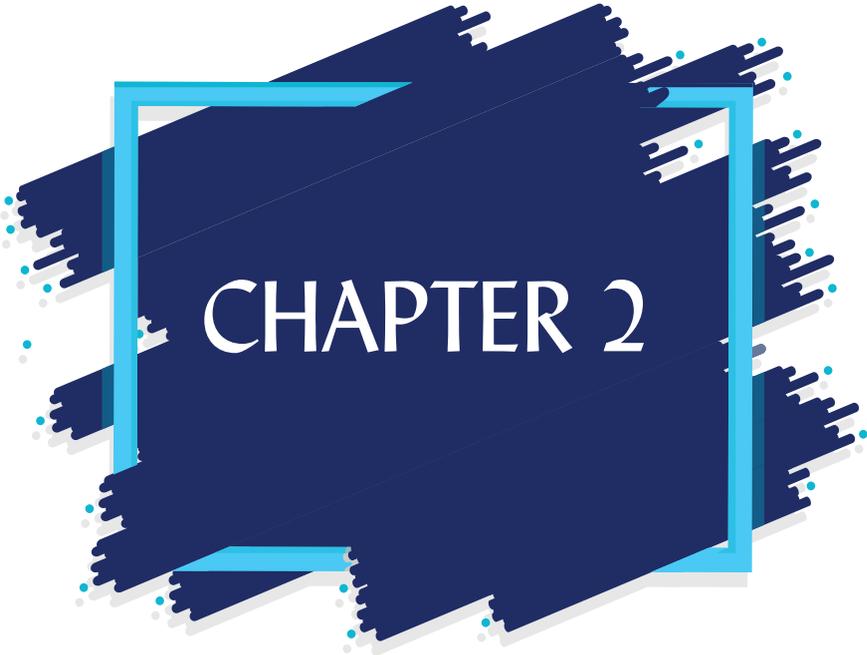
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# DIFFERENT FACES OF A CLOCKWORK ORANGE

Ayşe MUHTAROĞULLARI<sup>1</sup>



## CHAPTER 2

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# DIFFERENT FACES OF A CLOCKWORK ORANGE

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## 1. INTRODUCTION

*A Clockwork Orange*, a fictional novel, which is written by Anthony Burgess (1962) and then directed by Stanley Kubrick (1971), represents hierarchical regimes in western societies. *A Clockwork Orange* illustrates how the dominant ideology of a society is formulated through institutions, such as the government, family, police and education. These are the central controlling systems forms, which centralized power grows. They are created by society according to their rules and moral norms. Alex, the central character does not obey the rules and the morality of a society; therefore people try to impose some rules over his mind and his friends' minds because they are a gang and try to bring harm to other people. As Anthony Burgess (1962) said in his novel:

What I had tried to write was, as well as a novella, a sort of allegory of Christian free will. Man is defined by his capacity to choose courses of moral action. If he chooses good, he must have the possibility of choosing evil instead: evil is a theological necessity. I was also saying that it is more acceptable for us to perform evil acts than to been conditioned artificially into an ability only to perform what is socially acceptable. (105)

So the actions of Alex are perceived by the author to be a challenge to society. Additionally, Stanley Kubrick (1971) uses this novel to represent another aspect of the power system to the audiences. That is the power and politics in art and how art can be used by dominant classes and control groups for political purposes. In Kubrick's version, the political aspects of art are always being investigated. Also, in these two works - the novel and the film - we see two kinds of endings. These endings create a different kind of interpretation about power systems. Thus, this analysis will focus on ideology how Kubrick and Burgess addresses challenge the idea of free will in controlling society.

## 2. FREE-WILL OR IMITATING SOCIETY?

In the novel, we meet a group of young boys. They are not going to school; they are living with their families. They are Alex, Pete, Georgie,

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and Dim. The main story is based on Alex, who is the leader of the group. This group has the same kind of life and clothes style, which is different from the majority. In their style they try to create a different kind of culture, which could be seen as a sign of resistance against the capitalist regime, as Dick Hebdige (1979) states in his book *Subculture: The Meaning of Style*:

Like Genet, we are interested in subculture-in the expressive forms and rituals of those subordinate groups - the punks - who are alternately dismissed, denounced and canonized; treated at different times as threats to public order and as harmless buffoons. Like Genet also, we are intrigued by the most mundane objects - a safety pin, a pointed shoe, a motor cycle - which, none the less, like the tube of Vaseline, take on a symbolic dimension, becoming a form of stigmata, tokens of a self-imposed exile. (2) Hebdige argues that a subculture is a subordinate group inside of capitalist hegemony. They have got their style. Inside of the public order, people can identify them with clothes or hairstyle or musical taste. According to Hebdige (1979):

Subcultures most commonly form on the bridge between school and work. The youth who begins to die his hair and wear different clothes and even make-up is making a clear, if not self-apparent statement to others and to himself: 'I Will not work and will ensure that the work space will disbar me.' As a result the rise of subcultures in England in the nineteen sixties offered a refreshing resistance to the Victorian blue-print of school- work- family -retirement. (17)

In this way Alex's gang's attempt to challenge the public order can be seen in the novel. Also, Alex's group has their own style for this struggle:

The four of us were dressed in a pair of black very tight tights with the old jelly mould, as we called it, fitting on the crotch underneath the tights, this being to protect and also a sort of a design you could viddy clear enough in a certain light, so that I had in the shape of a spider, Pete had a rooker (a hand, that is) Georgie had a very fancy one of a flower, and poor Dim not had a very hound-and-horny one of a clown's litso (face, that is), Dim not ever having much of doubting thomas, the dimmest of we four [...] We wore our hair not too long and we had flip horrorshow boots for kicking. (Burgess, 1962: 5-6)

This passage shows a new subculture. This gang strives to construct a new culture in their society, and for this construction, they use new kinds of clothes and hairstyle. Alex says that clothes signify their inner world. Interestingly, black as a sign is culturally determined. It is cliché, according

to John Fiske that can be seen later through the paper. Because the color of black signifies evil but also “cool” and “mysterious”. Certainly, we can see evil things in their actions like beating up homeless people. The reason is that they try to bring harm to the other people in order to be different from the masses, but they mimic or imitate the right-wing policies of the government that has turned their working-class society into an impoverished area, which becomes one reason for their ultra-violence. They also learn violence through habit. In their violent habits, they challenge the order of society that Althusser declares in his essay “Ideology and Ideological State Apparatuses (1971):

With all the reservations implied by this requirement, we can for the moment regard the following in situations as Ideological State Apparatuses (the order in which I have listed them has no particular significance):

the religious ISA (the system of the different Churches),

the educational ISA (the system of the different public and private School”),

the family ISA,

the legal ISA,

the political ISA the political system, including the different Parties),

the trade-union ISA,

the communication ISA (press, radio and television, etc.),

the cultural ISA (Literature, the Arts, sports, etc.). (143)

These are Ideological State Apparatuses, which generate power and social control. As we see from the list, these are the belief systems of different societies. The reason is that with these things society can create an identity for a person and then impose beliefs and rules over people’s minds.

Subculture challenges the supposedly natural order of the societies by “refusal”.

Hebdige (1979) remarks:

As in Genet's novels, this process begins with a crime against the natural order, though in this case the deviation may seem slight indeed - the cultivation of a quiff, the acquisition of a scooter or a record of a style, in a gesture of defiance or contempt, in a smile or a sneer. It signals a Refusal. I would like to think that this Refusal is worth making, that these gestures have a meaning, that the smiles and sneers have some subversive value, even if, in the final analysis, they are, like Genet's gangster pin-ups, just the darker side of sets of regulations, just so much graffiti on a prison wall. (33)

In *A Clockwork Orange*, Alex's gang refuse to go to school, to keep the peace, to listen to their parents, they refuse, unconsciously, to become a working part of the ISA's. In other words, they appear to practice their free-will, but in doing so, they imitate the power structures of the society they live in. For example, their aggression is a kind of mirror that is given to Alex by the government and Repressive State Apparatuses. Such as including polices, who are Dim and George. So, like the artificial intelligence and smart machines of the early twenty-first century, they have learnt their responses from their environment even if their family environment is peaceful. However, their society and their government are not peaceful. The biggest indication of their refusal to be part of society is their slang language Nadsat. As Robert Poole (1989) says in *The Role of Slang in Youth Culture Formations*:

The importance of slang to the development of the individual teenager, particularly in under-deprived areas cannot be underestimated. It is a mark of belonging, of acceptance and often the case, of creativity, in social environments where the dominant parental alternative represents no alternative. The youths who rebels linguistically are both finding a place for themselves and marking those borders in a non-aggressive and frequently inventive fashion. (21)

However, when Alex and the Droogs use Nadsat they are also showing how the violence of society tries to resist society. Even though they use Nadsat as a refusal to be a part of ISA's, Burgess has written them a slang language that shows how ISA's are a part of everything:

Russian loanwords fit better in English than those from German, French, or Italian. English, anyway, is already a kind of *mélange* of French and German. Russian has polysyllables like *zhevotnoye* for beast, and *ostanovka* avtobusa is not so good as bus stop. But it also has brevities like *brat* for brother and *grud* for breast. The English word, in which four consonants strangle one short vowel, is inept for that glorious smooth roundness. *Groodies* would be right. In the manner

of the Eastern languages, Russian makes no distinction between leg and foot - *noga* for both-or hand and arm, which are alike, *ruka*. This limitation would turn my horrible young narrator into a clockwork toy with inarticulated limbs. As there was much violence in the draft smouldering in my drawer, and would be even more in the finished work, the strange new lingo would act as a kind of mist half-hiding the mayhem and protecting the reader from his own baser instincts. And there was a fine irony in the notion of a teenager race untouched by broad politic knowledge, using totalitarian brutality as an end in itself, equipped with a dialect which drew on the two chief political languages of the age. (1962: 38)

Here Burgess shows that Nadsat far from escaping international politics and its national wars comes from that context. So, the regime of capitalism occupies a big place even inside of its subculture. As Deleuze and Guattari (1984) say “the grid of capital is simple. Its categorical distinctions are two in number; worker/capitalist and commodity/consumer. (.....) Capital itself is not an image of social agency operating on other levels, as are “God”, “democracy”, “soul”, or “wine” (128). The passage shows the way capitalism works. It does not respect people’s ideas. The system only wants more money and the people who are working. This regime wants a beautiful life with money as we see in *A Clockwork Orange* (1962). At first, in the novel, we think that group is against the regime and that they live outside of it. That is to say they have defiance only in their actions, which is violence and lifestyle. However, also we observe that they have the same capitalistic logic, which inside of the group, where some are workers and some are in control of profits and make all the decisions:

‘All right, no more picking on Dim, brother. That’s part of the new way.’ ‘New way?’ I said. ‘What’s this about a new way? There’s been some very large talk behind my sleeping back and no error. Let me sloshy more.’ And I sort of folded my rookers and leaned comfortable to listen against the broken banisterrail, me being still higher than them, droogs as they called themselves, on the third stair. No offence, Alex,’ said Pete, ‘but we wanted to have things more democratic like. Not like you saying what to do and what not all the time. But not offence. (Burgess, 1962: 43)

These lines show that others want democracy in the group. With this way, they are against the idea of control in the group. The reason is that Alex controls the group and takes significant benefits; therefore the others try to challenge Alex’s power and construct a new kind of structure, but it does not work, because Alex shows his power through violence and again he takes control of the group:

Then he tried to drink in all the blood from his wrist and howl at the same time, and there was too much krovvy to drink and he went bubble bubble bubble, the red like fountaining out lovely, but not for very long, I said: 'Right, my droogies, now we should know. Yes, Pete?' 'I never said anything,' said Pete. I never govereeted one slovo. Look, old Dim's bleeding to death.' 'Never,' I said. 'One can dies but once. Dim died before he was born. That red red krovvy will soon stop.' Because I had not cut into the like main cables. And I myself took a clean tashtook from my carman to wrap round poor old dying Dim's rooker, howling and moaning at the krovvy now. Who was master and leader, sheep, thought I. (Burgess, 1962: 45)

These lines show Althusser's (1971) ideas about Repressive Apparatuses: "The State Apparatuses function 'by violence', whereas the Ideological State Apparatuses function by ideology" (145). It suggests that two Apparatuses have different methods to control people. For example, Repressive State Apparatuses first uses violence and ISA uses ideology, as we see in the novel. The reason is that first Alex uses violence gives harm to Dim with his knife. Then they go to a bar, and he persuades them with his words. We can say that first Alex uses Repressive Ideological Apparatus and then uses the Ideological State Apparatus to impose his rules over the group. It means that he is a suitable understudy of the structures of power in his society and that although he is against the organization of society, he uses the same methods to get what he wants. We cannot escape our environment; it shapes us and makes us do it as a habit. So even before the Ludovico Treatment, Alex is not free from society.

### **3. ART AS POLITICS IN A CLOCKWORK ORANGE**

It is very appealing that Stanley Kubrick directed *A Clockwork Orange* (1971) because of both he and Burgess value the political nature of art. As quoted above, Burgess wanted to write a highly political novel about social expectations and punishments. Kubrick adapts this story to the screen because he likes Burgess' political approach to storytelling, but he also brings his unique vision to what is on a show as can be read in his words on internet site:

I was excited by everything about it. The plot, the ideas, the characters and, of course, the language. Added to which, the story was of manageable size in terms of adapting it from films." The film itself is a merciless vision of the near-future. Roving gangs rape, kill, maim and steal, citizens live in vandalized pop art culture, gaudy, icy and filthy. Politicians and the police are vicious. The film's central character, Alex (Malcolm McDowell), is transformed by scientists

from an underworld tough to a defenseless model citizen only to be resurrected, at the end, to his savage original state by the “good” forces. The story functions, of course, on several levels, political, sociological, philosophical and, what’s most important, on a kind of dream-like psychological-symbolic level,” MrKubrick said. Alex is a character who by every logical and rational consideration should be completely unsympathetic, and possibly even abhorrent to the audience,” he went on. “And yet in the same way that Richard III gradually undermines your disapproval of his evil ways, Alex does the same thing and draws the audience into his own vision of life. This is the phenomenon of the story that produced the most enjoyable and surprising artistic illumination in the minds of an audience.” I think an audience watching a film or a play is in a state very similar to dreaming, and that the dramatic experience becomes a kind of controlled dream,” he said. “But the important point here is that the film communicates on a subconscious level, and the audience responds to the basic shape of the story on a subconscious level, as it responds to a dream (Carroll, 1995: 2)

Besides, very interesting in the film is that Kubrick changes their clothes from black to white. Their colour of clothes becomes a cliché in the book, but in the movie, Kubrick creates a new kind of subculture, and they dress in white. If they dress in black then maybe the audience will see it as a cliché for evil. John Fiske (1998) summarizes this about signs in cinema:

The way these norms or conventions are established is called by Guiraud *codification*. It may be an ugly term. But it does emphasize the fact that the sorts of codes we are dealing with here are dynamic, and that codification (and decodification) of the sign is a constant process. The frequent use of a sign makes it more conventional, and extends the number of users who agree on its meaning, or, to put it another way, increase the probability that it will be decoded similarly by different receivers. Metz shows how the cowboy’s white hat gradually became a cliché and lost its power. What seems to happen in this process is that at some point a sign becomes over-used, and then its receivers see its signifier as determined entirely by convention and not at all by reality: at this point it ceases to be an effective sign, and becomes a cliché. (168)

The passages talk about the term of cliché that sometimes the cultural terms have the same signified meanings. This means that we have got rules or structures, which are culturally determined, and they are inside of our unconsciousness/consciousness. Because of this, the semiotic system defines the signifier according to unconsciously signified associations. We

recognize something the same without realizing why. Elizabeth Wright (1998) uses the ideas of Freud in her book:

Freud sees the mind as having a three-fold division, conscious, preconscious and unconscious. Consciousness he equates with the perception system, the sensing and ordering of the external world; the preconscious covers those elements of experience which can be called into consciousness at will; the unconscious is made up of all that has been kept out of the preconscious-conscious system. The unconscious is dynamic, consisting of instinctual representatives, ideas and images originally fixated in a moment of repression. (10)

Freud indicates that we all share similar unconscious impulses that we are exposed to daily but that we are not aware of them. For example, the colour black might indicate evil and danger to many cultures, but we do not think it consciously when we see it if we are not threatened.

However, in the movie, Kubrick changed their clothes. In his film, they wear white instead of black. With this change, Kubrick challenges old ideas and is less codified in conventional ways than Burgess. In this shape, the movie approves a big challenge because codified “white” is also a sign for “pure” and “good” in Western society. For example, this binary opposition seen the age of Enlightenment as Paul Brains (2000) indicates in his writing:

We have been focusing closely on a thin trickle of thought which travelled through an era otherwise dominated by dogma and fanaticism. The 17<sup>th</sup> century was torn by witch-hunts and wars of religion and imperial conquest. Protestants and Catholics denounced each other as followers of Satan, and people could be imprisoned for attending the wrong church, or for not attending any. All publications, whether pamphlets or scholarly volumes, were subject to prior censorship by both church and state, often working hand in hand. Slavery was widely practiced, especially in the colonial plantations of the Western Hemisphere, and its cruelties frequently defended by leading religious figures. The despotism of monarchs exercising far greater powers than any medieval king was

supported by the doctrine of the “divine right of kings,” and scripture quoted to show that revolution was detested by God. Speakers of sedition or blasphemy quickly found themselves imprisoned, or even executed. Organizations which tried to challenge the twin authorities of church and state were banned. There had been plenty of intolerance

and dogma to go around in the Middle Ages, but the emergence of the modern state made its tyranny much more efficient and powerful. (2)

These lines show that in this age, people or society are controlling by the religious dogmas, because of this regime they had got strict rules over peoples. For example, in this age, binary oppositions took a prominent place over society. The man is more powerful than the woman. Even woman did not have any right. Also, the church divided the things with the bad and good, and it did not allow people to do bad things. Thus, as can be seen the idea of white/pure and black/evil ideas come from this dark age and still lives with human beings. In this way, Kubrick can be seen to be challenging Althusser's culture of ISA's by going against the norm of and way getting people to think about how all their information is culturally determined.

Another example of this in the film and book is when they use masks for ultraviolence. In society, when the authority controls us, we cannot see its real face because it uses a mask. It hides its faces from people, and we do not see their activities or their power in ISA's. This idea led Rousseau to argue that the masks are negative and misleading because it disguises the way things are. However, more than a hundred years later Mikhail Bakhtin (1998) looked at in another way and wrote: "The mask is related to transition, metamorphosis, the violation of natural boundaries, to mockery and familiar nicknames. It contains the playful element of life." (9) To Bakhtin, the masks are people's lives. The masks reveal all is "play", that playing is the reality. According to Bakhtin, masks display a positive side in people's lives. They represent reality. In other words, he suggests that we have multi personalities which reflect in the history of masks. For example, Alex presents different selves in the novel. He is a student, child, controller tool for the government, and author. One time when going to do some horror-show violence, he narrates:

We put our maskies on-new jobs these were, real horrorshow, wonderfully done really; they were like faces of historical personalities (they gave you the names when you bought) and I had Disraeli, Pete had Elvis Presley, George had Henry VIII and poor old Dim had a poet veck called Peebee Shelley; they were a special plastic veshch so you could roll it up when you'd done with it and hide it in your boot- then three of us went in. (Burgess, 1962: 12)

The masks that they use connect both artistic and political cultures. The reason is that a poet, king, singer and politician will attack the couple in the house. In the novel, Burgess uses it as a metaphor. He wants to suggest that art can be used for political purposes. Also, he wants to show that art

is not only to belong to elite people, but people use it for their political actions and importance. Kubrick and Burgess use the masks of Elvis and Shelley, who were revolutionaries in their fields. Shelley is a poet and revolutionary, as Bennett and Curran mention:

*In Shelley: Poet and Legislator of the World* Betty T. Bennett and Stuart Curran bring together an internationally recognized group of scholars to focus on Percy Bysshe Shelley's conception of the poet's social role and how that conception has changed over time. The authors consider the cultural and political forces within Shelley's society and his attempts to establish a new role for the poet in its renovation. They examine the ways in which Shelley's thought engages contemporary debates on feminism, class structure, political representation, and human rights, and how it in turn affects radical politics in England. They describe his impact on other cultures, particularly in national liberation movements of both the 19<sup>th</sup> and 20<sup>th</sup> centuries. And they discuss the continuing presence and relevance of his ideas within the contemporary social and intellectual arena. (1996: 2)

With these masks, Kubrick and Burgess make poet and pop singer important. Thus, Kubrick and Burgess want to draw attention to the similarities between political society and art. According to Walter Benjamin (1985), modern aesthetics must be political:

An analysis of art in the age of mechanical reproduction must do justice to these relationships, for they lead us to an all-important insight: for the first time in world history, mechanical reproduction emancipates the work of art from its parasitical dependence on ritual. To an ever greater degree the work of art reproduced becomes the work of art designed for reproducibility. From a photographic negative, for example, one can make any number of prints; to ask for "authenticity ceases to be applicable to artistic production, the total function of art is reversed. Instead of being based on ritual, it begins to be based on another practice - politics. (224)

Because of technological reproduction, the aesthetics of art finds a new way to transform itself, which is politics. In other words, the story finds a new shape with the reproduction. Therefore, aesthetics are not related to beauty anymore, because it is related to politics. As Alexander Cohen (2001) argues in *A Clockwork Orange and the Aestheticization of Violence*:

For Walter Benjamin, the defining characteristic of modernity was mass assembly and production of commodities. Concomitant with this transformation of production is the destruction of tradition and

the mode of experience which depends upon that tradition. While the destruction of tradition means the destruction of authenticity, of the originary, it makes possible a liberation [...] The process of the destruction of aura through mass reproduction brings about the destruction of traditional modes of experience through shock. In response new forms of experience are created which attempt to cope with that shock. (1)

When the aura is absent, but art must mean something in this new context, then the artist should approach art politically. The artist should approach art to shock the individual out of the cycle of art without aura and therefore, without old meanings. Thus, in the novel, Alex and his group use the masks of Elvis, Shelly and Henry VII to depoliticise what has become empty through reproducibility. Burgess and Kubrick “shock” with their approach to modern aesthetics.

A perfect example is when Alex goes to the cat woman’s house. In Burgess book, Alex kills her with an ornate gold ornament, but in Kubrick’s version the murder weapon takes on a new meaning because it is a giant plastic phallus. As Cohen (2001) argues:

One will notice that the room abounds in modern art which depict scenes of sexual intensity and bondage. The Cat woman is the only real force of resistance to Alex, and the scene presents us with a struggle between high culture which has aestheticised violence and sex into a form of autonomous art, and Alex who is the embodiment of the violent politicization of aesthetics, like Hitler before him. She inhabits a private sphere, the image of enlightenment individuality in a sort of delusional satellite from the city where it is all hoodlums. Denied the historical context of art he actually understands the meaning of modern art very well indeed as violence, in fact he turns it literally into the tools of violence. She is killed as it were by her own instrument of aesthetic decontextualization. The sculpture phallus is made into a weapon, and the scene of her death is a subliminal orgy of modern art, recontextualized. (4)

By his film, Kubrick tries to get his audience and the audience for art out of laziness and paying attention to the shock and the power of art, but it is not a shock for its own sake. It is shocking to see how influential art -here film-making - can be. With the movie, it gains a new meaning. It is as a modern weapon. However, in ancient ages, the phallus is the oldest dramatic-props. The reason is that it has tragic and comic effects on literary works.

#### 4. FREE-WILL VERSUS ART?

After Alex enters the cat woman's house and kills her, he goes to prison, and this time, his life starts to change:

So here I was now, two years just to the day of being kicked and clanged into Staja 84F, dressed in the height of prison fashion, which was a one-piece suit of a very filthy like cal colour, and the number sewn on the groody part just above the old tick-tocker and on the back as well, so that going and coming I was 6655321 and not your little droog Alex not no longer. (Burgess, 1962: 61)

In prison, they give him a number instead of a name, which shows the power of the control system. The reason is that in prison, the police are the most powerful controller. They control people's actions and their minds, as well. Here we see that first, his name is changed. Besides, this new number organizes his life because he starts to further his education in prison. He starts to read books:

It had been arranged as part of my like future education to read in the book and even have music on the chapel stereo while I was reading. O my brothers. And that was real horrorshow. They would like lock me in and let me slooshy holy music by J. S. Bach and G. F. Handel, and I would read of these starry yhoodies tolchocking each other and then peeting their Hebrew vino and getting on to the bed with their wives' like hand-maidens, real horrorshow. (Burgess, 1962: 64)

The passage implies that the importance of religion is a crucial thing for human beings. Many people believe that creation happened as it is recorded in these religious books. So, it is necessary to know or accept ideologies or codes that education tries to give to people. In other words, with these codes, our minds take shape, and in this way, we learn to obey the rules. Because of these books, we learn how the good and bad things and our characters are constructed. Here Burgess is pointing out that the *Bible*, the leading Christian text, is full of sex and violence. So we learn how the nature of sex and violence also from religion. So he is showing that another form of art - narrative and storytelling - is deeply political in its violence and incorrectness, but the idea of religion that society organizes one of peace and love that favours capitalism. That is why Marx called "religion the opium of the people" (2001), because poor people believe in the "Sermon on the Mount" and that they will be rewarded in heaven if they are weak on earth but keep the peace. It is an example of the religious ISA at work, but Alex sees through it because

he always fights ideological conditioning. He enjoys reading the Bible because it reminds him of this life.

Religion and language connect to myth. The reason is that myth is a communication medium. As Roland Barthes (1998) writes in the essay:

“Myth Today”: “what must be firmly established at the start is that myth is a system of communication, that is, a message. This allows one to perceive that myth cannot possibly be an object, a concept, or an idea; it is a mode of signification, a form.” It is, in his famous phrase, “a type of Speech” (109).

The *Bible* - Hebrew and Christian - is a myth in which two competing human emotions revenge and love, fight it out for victory with persuasive words. As usual, all of Alex's experiences of art are powerful, and so when he is subjected to Ludovico treatment, he has the ultimate, violent experience of art.

In prison, people start to talk about the new technique, which is Ludovico's technique, which contains films and music for brainwashing. With this technique, people become good, but the priest in prison does not believe in it:

It's not been used yet,' he said, 'not in this prison, 6655321. Himself has grave doubts about it. I must confess I share those doubts. The question is whether such a technique can really make a man good. Goodness comes from within 6655321. Goodness is something chosen. When a man cannot choose he ceases to be a man. (Burgess, 1962: 67)

The irony here is the dilemma of the priest who expresses doubts about the moral nature religious demands, because the priest, as a student of the bible, recognizes the potential for evil in man but believes because of his faith that free-will is the choice of the individual man and not of the society he is a part of. If society takes away the right to choose, then according to Christianity, there is no difference between the man and an animal. It is a metaphor for why Kubrick chose to direct *A Clockwork Orange* because his films trace the movement of free-will away from God-given to society-given.

The Ludovico technique works by breaking through habit and getting people to see the world around them, with the assistance of some medical drugs. As Max Planck (1933) says:

Habit certainly plays an important part in life. From childhood onwards it influences our temperament, our wills and our thought. We think we understand a thing merely because we have become accustomed to looking at it. The first time that something new strikes us we feel surprised; but if the same thing happens for the tenth time we find it quite a natural happening. If it should happen a hundred times we say that it is obvious and we even go the length of looking upon it as a matter of necessity. (124)

This passage explains the experience of habit very clearly. The repetition of the events become a habit in our minds. Then we do it without having to remember to do it again. Here habit plays the same role as attitudes to art in the age of mechanical reproduction where aura is lost to reproduction and repetition.

However, according to Victor Shklovsky (1917), good art defamiliarises habit and makes the common seem unfamiliar to us:

Art exists that one may recover the sensation of life; it exists to make one feel things, to make the stone *stony*. The purpose of art is to impart the sensation of things as they are perceived and not as they are known. The technique of art is to make objects ‘unfamiliar, to make forms difficult, to increase the difficulty and length of perception because the process of perception is an aesthetic end in itself and must be prolonged. Art is a way of experiencing the artfulness of an object; the object is not important. (2)

He is saying that art makes things unfamiliar for human beings. Through the intensity of the Ludovico technique where they pin his eyeballs open and give him drugs to keep him constantly awake so that he must watch, the power of art and its violence, and violence, itself becomes defamiliarised for him. So when they show him first rape and then Riefenstahl’s Nazi rally film followed by Holocaust victims and survivors he experiences conflicting emotions. He is excited at first by the rape and the Beethoven soundtrack to Reifensstahl’s films, and the exciting and dramatic imagery of the Germans going to war. However, he is also horrified by Auschwitz victims and other victims of violence he is exposed to, and he starts to feel sick. Then he is watching:

lewdies being shot against a wall, officers giving the orders, and also horrible nago plots left lying in gutters, all like cages of bare ribs and white thin nogas”. Then he recounts “now all the time I was watching this I was beginning to get very aware of like not feeling all that well, but I tried to forget this, concentrating on the next film, which jumped

right away on a young devotchka, who was being given the old in-out, in-out, first by one malchick, then another, then together” and suddenly and I creeched like bezoomy like that. (Burgess, 1962: 90)

The quotation indicates that he got violently ill. When he is finally brought before the board, who want to test the success of the experiment he cannot distinguish between his sickness at violence (he is invited to hit a warden) and at sex (he is invited to have sex with a naked girl). All these things make him ill; violence and sex and music and even watching the film. He could not reread the Bible without being sick too. In his essay, Alexander Cohen (2001) discusses Walter Benjamin’s (1985) ideas about two kinds of experience:

Benjamin distinguishes between two kinds of experience, which are connected with Alex position: *Erfahrung* something integrated as experience, and *Erlebnis*, something merely lived through. *Erlebnis* characterizes the modern age and refers to the inability to integrate oneself and the world via experience. *Erlebnis*, then, is the form of experience of late capitalism, and our relation to commodities is characterized by ahistoricity, repetition, sameness, reactiveness, all the categories which the Culture Industry will describe as liquidating culture in the present post-holocaust era. (1)

What has happened is that because of the dominance of *Erlebnis* in Alex’s life up until this point, he cannot achieve *Erfahrung* once all experience is defamiliarized and raw to him. Because he now sees things as they are, he cannot distinguish between violence and love, between noise and music, because in the reproduced world all has been designed by the ISA’s as bad or evil. Because he was desensitized, he is now not able to integrate these experiences holistically. He has ceased to be a man and is now a society puppet. Alex calls out for his subjectivity back. He wants his sense of himself as controller his destiny:

Me, me, me. How about me? Where do I come into all this? Am I like just some animal or dog? And that started tem off govoreeting real loud and throwing slovos at me. So I creeched louder, still creeching: Am I just to be like a clockwork orange?’ I didn’t know what made me use those slovos, brothers, which just came like without asking into my Gulliver. And that shut all those vecks up for some reason for a minoota or two. Then one very thin starry professor type chelloveck stood up, his neck like all cables carrying like power from his Gulliver to his plot, and he said: ‘You have no cause to grumble, boy. You made your choice and all this is a consequence of your choice. Whatever now ensues is what you yourself have chosen. (Burgess, 1962: 100)

This passage illustrates that Alex does not have his own free will to define his character and self. The power system has replaced God as his judge. He is a kind of machine, which is controlled by programmers. Thus, we can say that those people make him a machine. This machine does not have any chance to use his mind and use his free will. In Freudian terms he has had his “pleasure principle erased, or removed as Elizabeth Wright says in *Psycho-Analytic Criticism* (1998):

In the interaction of the body with the external environment a part of the mind Freud calls the ‘ego’ evolves to mediate the actions of the body so as to achieve the optimal satisfaction of its needs. In particular the ego is concerned with self-preservation. This of its nature implies that there has to be control of these basic instincts if there is to be an adjustment to reality. Under the economic model this is viewed as a struggle between the ‘reality principle’ and the pleasure principle’, in which the body has to learn to postpone pleasure and accept a degree of unpleasure in order to comply with social demands. (10)

Alex cannot now, consciously or unconsciously, control his actions. If his desire for pleasure is brought up, it will cause him pain. When he returns to the author’s house just before he attempts to commit suicide, the author spells this out to him:

They have turned you into something other than a human being. You have no power of choice any longer. You are committed to socially acceptable acts, a little machine capable only of good. And I see that clearly - that business about the marginal conditionings. Music and the sexual act, literature and art, all must be a source now not of pleasure but of pain. (Burgess, 1962: 122)

Burgess has written irony here because his book is all about art causing pain so that people will wake up and see that it is politically important. Burgess had no interest in writing a book that was “source now [...] of pleasure but one that brought some “pain to those who see art as apolitical. As Benjamin (1985) states:

“*Fiat ars - pereat mundus,*” says Fascism, and, as Marinetti admits, expects war to supply the artistic gratification of a sense perception that has been changed by technology. This is evidently the consummation of “*I’art pour l’art.*” Mankind, which in Homers time was an object of contemplation for the Olympian gods, now is one for itself. Its self- alienation has reached such a degree that it can experience its own destruction as an aesthetics pleasure of the first order. This is the

situation of politics which Fascism is rendering aesthetic. Communism responds by politicizing art. (242)

In the book and movie, Kubrick and Burgess politicize art to show that some artists use it in a positive way for political comment and criticism of the bourgeoisie. Even, they use it negatively to show the destruction of art. With this way because of the morals, they want to defamiliarize and SHOCK us. To answer Adorno, this is the purpose of poetry after Auschwitz:

For Adorno, poetry after Auschwitz is no longer possible, in a sense that still requires interpretation, because of the aestheticization and stylization inherent in the production of “aesthetic” objects and their “aesthetic” value as objects of a form of pleasure. This is intrinsically problematical for Adorno, because at the very moment the Holocaust is made the object of an aesthetic pleasure, it is destroyed in its horrifying singularity, and the materiality and reality of the event is elevated into an aesthetic experience, whereby the barbarity of the Nazi crimes against the Jews is in some sense repeated and even legitimized, in the sense that the suffering is lifted from the individuals who actually suffered and transfigured into an “aesthetic” event. (Leventhal, 1995:1)

## 5- CONCLUSION

Finally, when Alex hears Beethoven and cannot escape from his room, he jumps to commit suicide. After that, he goes to the hospital. In this time people or media talks about the government “you were in the papers, son. It said they had done a great wrong to you. It said how the Government drove you to try and do yourself in. And it was our fault too, in a way, son” (Burgess, 1962: 135). Because of his jumping, he has got a visitor at the hospital, who is the Minister of the Interior:

We always help our friends, don't we? And then he took my rooker and some veck creeched: ‘Smile!’ and I smiled llike bezoomny without thinking, and then flash flash crack flash bang there were pictures being taken of me and the Intinfmin all droogy together. ‘Good boy’, said this great chelloveck·›Good good boy’. And now, see, a present. (Burgess, 1962: 139)

The passage reveals the importance of the media, as Marshall McLuhan & Quentin Fiore (1967) writes in his essay: “Media, by altering the environment, evoke in us unique ratios of sense perceptions. The extension of any one sense alters the way we think and act-t he way we perceive the

world. When these ratios change, men changed” (41). These lines show that the media has a significant capacity to control our thinking and to act as we see in the book. The reason is that first society supports the government because of the new technique. However, after that, they do not accept its action because of the media. Media organizes everything for society, and it changes people’s minds. So now the government must use the media even as they answer to it. Alex is hired as part of the Ideological State, as an apparatus for social quiet, and in return, he is cured. The satire is strong. He can return to his old ways and be paid by the hierarchy if he does not turn into a human rights activist, which is the end of the film.

On the other hand, the book has a different ending. The film finishes at the hospital with the scene of sexual activity and the inner monologue of Alex:

And what do you know, my brothers and only friends, it was the 9<sup>th</sup> the glorious 9<sup>th</sup> of Ludwig van. Oh, it was gorgeosity and yummy yum yum. I was cured. As the music came to its climax, I could viddy myself very clever, running and running on like very light and mysterious feet, carving the whole face of the creeching world with my cut throat britva. I was cured all right. (Kubrick, 1971)

The novel finishes with a different event:

My son, my son. When I had my son I would explain all that to him when he was starry enough to like understand. But then I knew he would not understand or would no want to understand at all and would do all the veshches I had done, yes perhaps even killing some poor starry forella surrounded with mewing kots and koshkas, and I would not be really stop him. And nor would he be able to stop his own son, brothers. [... ] but first of all, brothers, there was this veshch of finding some devotchka or other who would be a mother to this son. I would have to start on that tomorrow, I kept thinking. That was something like new to do. That was something I would to get started on, new like chapter beginning. (Burgess, 1962: 148)

These passages show that Burgess wrote as closure, but still, he keeps it open. In another word, he gives the audience a chance to write the end of the book with its own words. The reason is that now Alex becomes mature because of the society’s rules that they taught him. Thus, he starts to behave according to these norms; therefore, he wants to a normal life like other people without challenge the ideologies that acculturate his mind.

By contrast, in Kubrick's (1971) version, the film ends with a strong image, of Alex accepting a government job and becoming wild-eyed at a couple having sex on the floor before him. Kubrick is different from Burgess because he prefers the satiric ending in which Alex has become a part of the authoritarian system that he challenged. He is a part of ISA's. He was tortured and finally accepted as an excellent example of a government employee. Another reason for the different endings is that the naked couples are a stronger visual image than Alex looking for a wife and as a filmmaker Kubrick understood the importance of the visual image. He knows that a media-driven society of the image would come soon, so Alex disappears in the pop of camera flash-bulbs and naked bodies. So, his film maintains the emphasis on the movement away from free-will towards mechanization where art must acknowledge this mechanization and work to show how its mechanization can be the substance for its artistic content. In *A Clockwork Orange* (1971), control of free-will moved from God to man.

### **Acknowledgments**

This paper was developed from an MA Master thesis, which is titled *From Free Will to AI: The Visual and Narrative Codes in the Work of Anthony Burgess, Author C. Clarke and Stanley Kubrick*, supervised by Asst. Prof. Dr. Rodney SHARKEY, Eastern Mediterranean University, September 2002.

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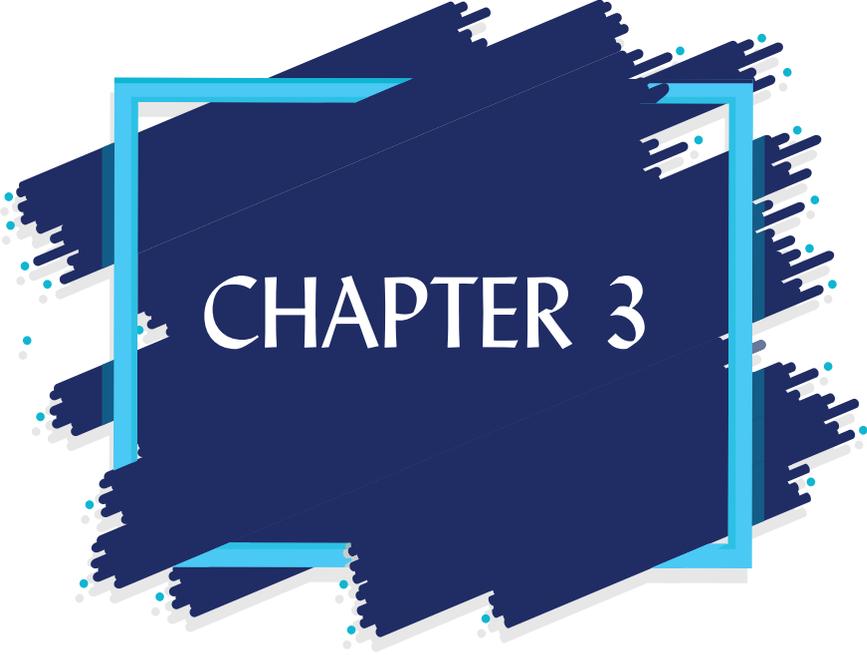
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# BEHAVIORAL FINANCE RESEARCH AS WEEKEND ANOMALY OF BITCOIN

Emre KAPLANOĐLU<sup>1</sup>



## CHAPTER 3

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# BEHAVIORAL FINANCE RESEARCH AS WEEKEND ANOMALY OF BITCOIN

Emre KAPLANOĞLU<sup>1</sup>

## 1. INTRODUCTION

With the exchange of goods, trade has begun, with the use of valuable ingots or dominant goods as exchange tools instead of money, people have been able to meet their needs more easily by finding and using money in trade. Although it is not known exactly who had the money, it was determined for the first time that the Lydians used money from precious mines. For the first time in the world, gold and silver coins are used and Lydian people who calculate the value of goods for money. Although money, exchange, preservation of the functions of being an account unit and value preservation means, there have been major changes in physical properties since the first money (Davies, 2002).

Today, the paper money system has been transformed into a digital format by transferring the banknotes issued by central banks to the electronic environment. However, in recent years with the development of technology behind the need for a central bank, exchange and saving property that has the feature of encrypted (crypto) has emerged. Crypto currencies that can be issued by financial or non-financial parties are of great interest. Exchange rates are traded in international money markets, five days a week, twenty-four hours, while crypto currencies are traded twenty-four hours a day, seven days a week. While removing the limits in e-commerce, crypto currencies signal that the limits of the traditional monetary system may be lifted. The main functions of the currency are exchange instruments, account units, saving instruments and payment of deferred debts. The fact that people believe that an asset carries these four basic functions facilitates the acceptance of that asset as money. Whether or not crypto currencies fulfill these functions is a controversial issue, but interest is increasing every day. As the name of trust in crypto coins indicates, cryptology is based on the encryption of data in a certain system and in a secure environment based on the encryption science in which the data is transmitted and decrypted. Examples include electronic certificates and electronic signatures (Berentsen and Schär, 2018).

Since this cryptography is used in the production and circulation of money, it is called “Crypto Money”. Crypto currencies are produced in predetermined proportions by means of publicly known methods in

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decentralized crypto systems. Therefore, the form and timing of the money supply are determined during the establishment phase of the crypto system. Crypto coins can be produced at specified time intervals or the entire supply can be produced at a time. Crypto money miners operating in the production of crypto money do not need to trust each other, because crypto technology establishes the necessary trust (Houben and Snyers, 2018).

Nowadays, the number of crypto coins has approached 1000, they are used in trade and can be converted to the currencies in other paper money system. This interest in crypto currency, which has started to be seen as a financial instrument, is also the subject of academic studies. The analysis methods applied to existing investment instruments can be applied to crypto currencies. There are many studies in the field of behavioral finance, especially in stocks and indices, which try to measure time effects such as days, weeks, months, holidays and seasons. Time effect means that the price changes of the financial instrument in days, weeks or months are compared with similar time segments and the deviations in temporal differences are expressed as anomalies. In inefficient markets, the deviation from the average, i.e. the anomaly effect, is seen more frequently and this effect is evaluated by speculators and seen as an investment opportunity. Naturally, the level of attainment of information by all, makes the market from weak to semi-strong and strong.

In the efficient market hypothesis, it is assumed that no extra gain on market return can be obtained by using the available information. The concept of the effectiveness of markets is examined as the weak, semi-strong and strong form of efficient markets, according to the information that investors have when making decisions (Fama, 1970: 383-387). Although it is not possible to gain more than the average return because the prices are random in effective markets, studies have been conducted to show that this is differentiated. Differences from the mean or standard in behavioral finance are expressed as anomalies. The anomalies are divided into two as price anomaly and calendar anomaly. In calendar anomaly, it is investigated whether the returns obtained during periods such as day, month, week, holiday, weekend and season differ from the average. Weekend effect is one of the periods studied in behavioral finance. It is often a matter of research whether the closing prices of the markets on Friday, and the information coming on Saturday and Sunday when the markets are closed have an effect on the closing prices on Monday. However, the new generation of encrypted (crypto) money market can be traded seven days and twenty-four hours. Crypto money, which is a trade and exchange tool of value, is getting more and more attention.

The purpose of this research is to examine the day effect on Saturday and Sunday using the power ratio method in Bitcoin which has highest market capitalization. The effect on Friday and Monday as the weekend effect was calculated by the power ratio method and compared with the calculated power ratios for Saturday and Sunday. The remainder of this research is organized as follows. Section 2 gives literature review of previous research. Section 3 discusses the scope and methodology of research. Section 4 presents the research findings. Section 5 concludes.

## **2. LITERATURE REVIEW**

Gu (2003) developed power ratio method to analyze the effect by each separate year for adequately extended time periods to investigate the influence and trends of the January effect of most important U.S. stock indices. The power ratio method provided a constant approach to expose the comparative impact of January return in the year. The anomaly that differs with pattern can be used for investment strategies.

Gu (2004) also used power ratio method to constantly measure the influence of Friday and Monday returns, as to show weekend effect, on weekly return of in each separate year. Gu found that the influences of the anomaly clarify earlier researchers' studies and findings differences.

Examining the day effect, Kurihara and Fukushima (2017) concluded that the years 2010-2016 differed in two periods, Bitcoin, which was weakly active in the first period, showed anomalies in the weekends, but weak activity disappeared in the second period. They showed that the Bitcoin market is not efficient, but Bitcoin trades are becoming more efficient and returns of Bitcoin will be random in the future.

Aharon and Qadan (2018) investigated the day of the week effect by using statistical methods with daily data for 2010-2017. They evidenced that there was the day of the week effect anomaly in Bitcoin's returns and volatility. They also found that common speculative variables in the financial markets are restricted in Bitcoin's price prediction.

Caporale and Plastun (2018) examined the day of the week effect in the cryptocurrency market by using statistical methods such as average analysis, Student's t-test, ANOVA, the Kruskal-Wallis test, and regression analysis with dummy variables. They found no Monday anomalies for Litecoin, Ripple, Dash, but Monday anomaly for Bitcoin which returns are considerably greater than on the other days of the week.

Baur et al. (2017) studied the effect of hours, days, and months via more than 15 million examinations from seven global and uninterruptedly transacted Bitcoin markets for Bitcoin returns and volume. They found time specific anomalies in returns, but no persistent effects across time and dissimilarities across all exchanges with lower activity during the local evening hours and on weekends.

Décourt, Chohan, Perugini (2017) examined the Monday effect in the Bitcoin, Bitcoin market diverges from traditional markets as a result of its uninterrupted trading. They suggested that the Monday effect may be found in Bitcoin trading days and used the average daily returns on Monday as matched with other days of the week. They found that Bitcoin returns are meaningfully upper on Mondays.

Mbanga (2019) investigated Bitcoin's price clustering as in any specific day of the week. He found that Bitcoin prices cluster high on Fridays and low on Mondays with whole numbers. And also found that value clustering about the maximum three most repeated two-digit decimals is mainly a Friday anomaly.

Ma and Tanizaki (2019) investigated return and volatility as the day of the week influence on Bitcoin between 2013 and 2018. Daily data of the study is acquired from the CoinDesk Bitcoin Price Index. They found that the day of the week effect in return comparison varies and great volatilities are detected on Monday and Thursday. The considerably excessive average return of Bitcoin on Monday is a response to excessive volatility. Therefore, return and volatility continue powerful after give reason for share returns and foreign exchange market returns.

### 3. SCOPE AND METHODOLOGY

#### 3.1. Scope

Crypto currencies are included in the research, to show why especially Bitcoin chosen. There are more than 1,000 crypto in cryptocurrency market.

The data in Table 1 is collected on the date of 29.03.2019 from Coinmarketcap's web site. Ten crypto currencies with the highest market value are given in Table 1, with circulating supply in the market, according to their market capitalizations (Coinmarketcap, 2019).

*Table 1. Top Ten Crypto Currencies with the Highest Market Capitalization*

Crypto Currency	Symbol	Circulating Supply	Market Cap (\$)
-----------------	--------	--------------------	-----------------

Bitcoin	BTC	17,605,475	70,971,458,046
Ethereum	ETH	105,354,872	14,550,311,386
Ripple	XRP	41,666,017,553	13,054,298,902
Litecoin	LTC	61,008,761	3,730,103,204
EOS	EOS	3,339,037,467	906,245,118
Bitcoin Cash	BCH	2,946,837,143	17,688,050
Binance Coin	BNB	141,175,490	2,150,182,073
Stellar	XLM	19,225,306,519	2,075,023,011
Tether	USDT	2,020,708,392	2,036,321,467
Tron	TRX	66,682,072,191	1,612,078,450

The cryptocurrency with the highest market value was determined as Bitcoin with 70,971,458,046\$. And also, when Bitcoin compared with other crypto currencies, it is the oldest crypto currency, which has regular data for this research. Bitcoin's daily closing data, which is taken from, is available on the Yahoo-finance website. The date covered by the research for Bitcoin is between 01/01/2011 and 31/12/2018. The calculations of the research were performed in Microsoft Excel 2016.

### 3.2. Methodology

In this research, Power Ratio model which is used in Gu (2004)'s study was modified for investigating the weekend effect in Bitcoin.

However, weekend effect that was studied in traditional behavioral finance depends on Monday and Friday effects, this research focused on not only Monday and Friday, also evaluated Saturday and Sunday effect with a different point of view.

Natural logarithms of Bitcoin returns were calculated according to the daily closing prices. The calculation of the natural logarithm of daily returns is given in Equation 1 (Dowd, 2002: 40).

$$r_t = \left( \frac{P_t}{P_{t-1}} \right) \quad (1)$$

In Equation 1,

$r_t$  = return,

$P_t$  = closing price in the period t,

$P_{t-1}$  = the closing price in the period t-1

While finding day anomaly in Bitcoin, Power Ratio Method was used to eliminate the negative effect on returns (Gu, 2004: 6). Equation 2, Equation 3 and Equation 4 were formed by using Gu (2004) equations.

$$R^*_D = (1 + \text{mean related day's return})^7 \quad (2)$$

$$R_w = (1 + \text{mean weekly return}) \quad (3)$$

$$\text{Power Ratio}_D = \left( \frac{R^*_D}{R_w} \right) \quad (4)$$

The returns of the days of the week in the related year are calculated according to Equation 1 and the averages of the days of that year are calculated and the annual average values are found. For example, the returns of all Saturdays in 2018 are calculated according to Equation 1 and the average of these returns is calculated as the average Saturday return for 2018.

After making similar calculations for the other days, the average return of the week was calculated and the return of Saturday (the desired day to be calculated) was deducted from the return and the return of the week was obtained in Equation 3. When calculating  $R^*_D$ , the 7th force was taken due to the positive value and the number of days in the week. The  $R_w$  value will also take a non-zero value from the formulation.

When the power ratio ( $R^*_D / R_w = 1$ ) is equal to 1, the return of the examined day is the same as the average of the returns of the other days, when the power ratio ( $R^*_D / R_w < 1$ ) of the examined day is less than 1, the return of the examined day is lower than the average of the returns of the other days, and the power ratio ( $R^*_D / R_w > 1$ ) of the examined day is greater than 1, the return of the examined day is greater than the average returns of the other days.

In order to talk about the anomaly on the relevant day,  $R^*_D / R_w$  value should be greater than 1 in more than half of the period examined.

#### 4. FINDINGS

The natural logarithm of average daily returns of Bitcoin, calculated according to the Equation 1 between 2011 and 2018, are given in Table 2.

*Table 2. The Average Daily Returns of Bitcoin*

Crypto Currency	Symbol	Years	Friday	Saturday	Sunday	Monday
Bitcoin	BTC	2011	0.008	0.016	-0.017	0.022
		2012	-0.013	0.017	0.002	0.004
		2013	0.022	0.025	0.008	0.009
		2014	-0.008	-0.009	0.017	-0.025
		2015	-0.011	-0.003	0.010	0.000
		2016	0.004	0.009	0.001	-0.001
		2017	0.000	-0.001	0.005	0.018
		2018	0.000	0.004	-0.003	-0.008

$R^*_D$  values were calculated by replacing natural logarithm of the average daily returns of Bitcoin from Table 2 into Equation 2. The  $R^*_D$  values of Bitcoin are given in Table 3.

*Table 3. Average Daily Values ( $R^*_D$ ) of Bitcoin*

Crypto Currency	Symbol	Years	Friday	Saturday	Sunday	Monday
Bitcoin	BTC	2011	1.061	1.117	0.889	1.167
		2012	0.911	1.123	1.017	1.029
		2013	1.166	1.188	1.060	1.064
		2014	0.948	0.942	1.125	0.837
		2015	0.927	0.981	1.071	1.000
		2016	1.031	1.062	1.005	0.992
		2017	0.997	0.995	1.032	1.130
		2018	1.002	1.031	0.977	0.946

$R_w$  values were calculated as shown in Equation 3. The calculated  $R_w$  values of Bitcoin are given in Table 4.

**Table 4.** Average Weekly Returns ( $R_w$ ) of Bitcoin

Crypto Currency	Symbol	Years	Friday	Saturday	Sunday	Monday
Bitcoin	BTC	2011	0.999	0.992	1.024	0.985
		2012	1.016	0.986	1.000	0.999
		2013	0.989	0.986	1.003	1.002
		2014	1.005	1.006	0.980	1.023
		2015	1.012	1.004	0.991	1.001
		2016	0.998	0.994	1.001	1.003
		2017	1.008	1.008	1.003	0.990
		2018	0.996	0.992	1.000	1.004

Daily power ratios were calculated from  $R_D^*$  values in Table 3 and  $R_w$  values in Table 4 with Equation 4. As mentioned before, to determine weekend anomaly on the relevant day (Friday, Saturday, Sunday or Monday),  $R_D^* / R_w$  value should be greater than 1 ( $R_D^* / R_w > 1$ ) in more than half of the period examined. If it is more than half of the period examined, there may be an anomaly for that day.

The period that is examined is eight years from 2011 and 2018, so power ratio should be greater than one for five and more years. According to criteria which are power ratios should be greater than 1 ( $R_D^* / R_w > 1$ ) in more than half of the period examined, it is found that there is weekend anomaly on Saturday and Sunday (Table 5). Total number of years that power ratio is greater than one for Bitcoin is 5 on Saturday and 6 on Sunday. Total number of years that power ratio is greater than one for Bitcoin is more on Sunday than Saturday. On the other hand, weekend anomaly wasn't detected for Monday and Friday as defined in the criteria. Total Number of Years that Power Ratio is greater than one for Bitcoin on Monday is 4 and also 4 on Friday.

The power ratios calculated for Bitcoin, total number of years that power ratio is greater than 1 and existence or non-existence of weekend anomaly are given in Table 5.

**Table 5.** Weekend Anomaly According to Power Ratios of Bitcoin Between 2011 and 2018

Crypto Currency	Symbol	Years	Friday	Saturday	Sunday	Monday
Bitcoin	BTC	2011	1.062	1.126	0.868	1.184
		2012	0.897	1.139	1.016	1.030
		2013	1.179	1.205	1.057	1.061
		2014	0.943	0.936	1.148	0.818
		2015	0.916	0.978	1.081	0.999
		2016	1.033	1.069	1.004	0.989
		2017	0.989	0.987	1.029	1.142
		2018	1.006	1.039	0.978	0.942
<b>Total Number of Years that Power Ratio is greater than 1 for BTC</b>			<b>4</b>	<b>5</b>	<b>6</b>	<b>4</b>
<b>Anomaly for BTC EXIST/NOT EXIST</b>			<b>NOT EXIST</b>	<b>EXIST</b>	<b>EXIST</b>	<b>NOT EXIST</b>

## CONCLUDES

When the measured period, according to the power ratio method, the values of the day whose power ratio is calculated in Table 6 is above 1, shows that higher returns are obtained than the other days. However, this condition alone is not sufficient to mention the anomaly. In the second condition, the power ratio must be above one in more than half of the period which is examined.

For the Bitcoin, the power ratio of Saturday and Sunday about 8 years from 2011 to 2018 was found to be both above one. It is five years for Saturday and 6 years for Sunday, more than half of the period examined. Bitcoin has Saturday anomaly and stronger result in Sunday anomaly. It is better to analyze Saturday and Sunday effect with volumes on that day due to the people's trading habits (not only for Bitcoin trading, also shopping with Bitcoin) on holidays. Although the power ratio is found to be less than 1 in half of the period investigated on Friday and Monday, it is not possible to speak of the anomaly in absolute terms since it is not more than half of the period examined.

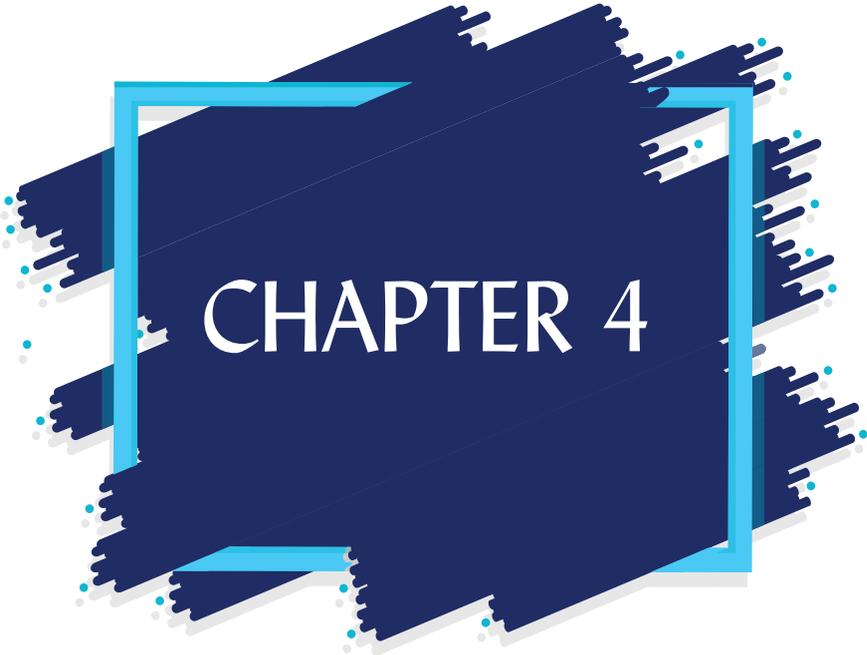
Due to the fact that most of the crypto currencies have started to be traded recently, the data obtained is limited. We think that the period and the increase in data will change the results. On the other hand, it is suggested that the power ratio method in Gu (2004), which is used to determine the daily anomaly, can be changed and applied in order to find out which days it differs.

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# LITERATURE REVIEW OF ZOMBIE FIRMS' RESEARCHES AND A BIBLIOMETRIC STUDY IN THE DATABASE OF WOS

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## CHAPTER 4

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# LITERATURE REVIEW OF ZOMBIE FIRMS’ RESEARCHES AND A BIBLIOMETRIC STUDY IN THE DATABASE OF WOS

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## 1. INTRODUCTION

The zombie is a term that stays in our memories as fearful movies’ scenes about the living dead. In recent times, this term has often been used to explain signboard firms while they should have been closed a long time ago. Zombie firms are apparently operating, but use huge part of their cash flow only to pay interest on their debts. Banks prefer to re-borrow zombie firms, restructure their bad loans instead of reducing the debts and taking them out of the financial statements. Nevertheless, these inefficient and unproductive zombie firms also ingest capital that can be transferred to more productive and healthy/normal/non-zombie firms (Hoshi, 2006; Fukuda and Nakamura, 2011; Nakamura; 2016). Therefore, like zombies, live as long as the cash inflow which is considered as fresh meat for them to continue and they put away the funds of other normal firms.

The purpose of this study is to give literature review of zombie firms’ researches and demonstrate the current state of scientific research on the subject of zombie firm, by scientific figures of WoS. A bibliometric examination of the publications cataloged in Web of Science was carried out with a topic “zombie firm” as search results between 2000 and 20 August 2019. This study is thought to be beneficial for the researchers who will study zombie firm subject. The frame of this study is constructed as follows. Section 2 gives literature about former zombie firms researches. Section 3 explains the scope and methodology of research. Section 4 gives the research findings. Section 5 concludes.

## 2. LITERATURE REVIEW FOR ZOMBIE FIRM RESEARCHES

In this section, literature review for zombie firm researches is given which is in chronological order and coherence to bibliometric study in section three. In addition to bibliometric study of Web of Science Core Publications in section three, the presented literature review in this section also consists of zombie firm search results in Google Scholar.

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Caballero, Hoshi, Kashyap (2008) examined the effects of zombie firms that concealing the normal competitive process. They found that congestion of the zombies lessens the gains for normal firms and industries that are influenced from zombie firms have low job formation and also more job destruction, and lower productivity.

Kobayashi and Osano (2011) evidenced that the primary bank is forced to accomplish capably in conducting bad loans with the danger of exit of minority banks.

Fukuda and Nakamura (2011) investigated recovery reasons of zombies in Japan at the beginning of the 2000s with an extended method of previous studies. They classified as zombie firms from the traded firms and found that reorganization such as decreasing the employee strength and getting rid of unnecessary tangibles was practical for the recovery of firms in distress. Especially, increasing special losses supported the recovery, but increasing special profits through the sale of main tangibles was harmful to the improvement of zombie firms. Zombie firms' recovery also affected by external support and interventions such as debt relief and capital reduction.

Jaskowski (2015) showed that loaning to zombie firms may be a good policy for a bank. Loaning to zombies can cause to larger lending quantity for bank and stops additional sacrifices from unwanted sell off. This kind of result from lending is an adverse reaction of market inadequacy and prosperity advancing. Capital increase of the banks would not contribute to a solution about zombie lending, but a firsthand buying of the collateral would definitely lessen the difficulty.

Kwon, Narita and Narita (2015) investigated reallocation of resources in Japan in the 1990s. They calculated total productivity growth by producers' data between 1981 and 2000. They found that the involvement to total productivity growth of resource distribution depreciated in the 1990s and converted to negative at the end of 1990s. And also indicated that misallocated lending to zombie firms from banks permitted zombies from decreasing production inputs.

Imai (2016) predicted the occurrence of zombie firms in Japanese small and medium sized firms, their borrowing and investment activities from 1999 to 2008. 4-13% of small and medium sized firms were zombie firms in the related period. Function of borrowing reveals that small and medium sized zombie firms did not alter their loans in reaction to land values alteration. The gain from investment did not have the progressive result on investments of zombie firms which is calculated by marginal  $q$ .

Tan, Huang and Woo (2016) found that investment by state increased the zombies' facilities and expelled the development of private enterprises from data of Chinese firms between 2005 and 2007 period. And also found that zombie firms flourish in the situation of the greater focus of state-owned banks and the more promoted by them.

Mcgowan, Andrews and Millot (2017) showed in an OECD paper that there is an opportunity to develop the insolvency rules in order to lessen the barriers to reorganization of weak firms and the personal costs related with business failure. Problems as zombie firm may relatively stem from bank tolerance and more forceful policy to resolve non-performing loans can be effective by complementary reforms to insolvency regimes.

De Barros and Pereira (2017) found that between 5.2% in 2008 and 12.5% in 2013 of firms in the market were zombies from 2008 to 2015 in the Portuguese construction and services. They also supported the theoretical estimations and former experiential outcomes that zombie occurrence has important negative results on normal firms in the construction and services sector.

Jiang, Li and Song (2017) examined why zombie firms with China's Shanghai and Shenzhen listed firms between 2009 and 2016. They found that zombie firms are capable of remaining eagerly because of state incentives with increased grants and lending by banks.

Lam, Schipke, Tan and Tan (2017) illustrated the principal aspect of zombies and connections with government firms in funding to debt weaknesses and lower productivity with using novel firm-level industrial survey data. They showed that weak firms can generate significant gains in long-term growth per year and also operational reorganization with divestiture and decreasing joblessness have significant welfares in restoring zombie firms' improvement.

Shen and Chen (2017) documented the troubles of excess capacity and zombie firms between 2011 and 2013 with Chinese manufacturing data. They found that the excess capacity is more intense in heavy chemical and state-owned industries in China. And also zombie firms ground and worsen excess capacity by expelling normal firms.

Chen, Du, Wu, and Zhou (2017) analyzed the development trend, also macroeconomic environment and industries, zombies' percentage of Chinese firms between 2007 and 2015 with adapted FN-CHK method to detect zombies by including onetime profits and losses. They suggested

that state should abide by supply-side reform and manage well selected industry policy.

Storz, Koetter, Setzer and Westphal (2017) explored the link between zombie firms and bank condition and the magnitudes for total productivity in 11 European countries. They found that zombies were more similar to be related to fragile banks and relatively caused by bank tolerance to them. Existence of zombies with increasing degree continued to overload for markets and restrains the improvement of normal firms.

Schivardi, Sette and Tabellini (2017) used data that contains almost Italian all banks and firm interactions between 2004 and 2013. They found that low capitalized banks were less presumably to interrupt credit to zombies; allotments of credit increased the default ratio of normal firms and decreased the default ratio of zombies.

Urionabarrenetxea, Merino, San-Jose and Retolaza (2018) showed extreme types of zombie firms with negative owners' capital that carry on business life. They explained calculation and definition of riskier firms by various determining factors between 2010 and 2014 in Spanish EZIndex. They established a method for classification zombies, according to risks and alterations.

Hallak, Harasztosi and Schich (2018) identified the occurrence of zombies in European countries and the effects of such incidence on the asset growth, employment growth and productivity of non-zombie firms. The result showed that the larger the share of zombie firms in a country the lower the growth of non-zombies in that country. They found young non-zombies were most affected by another zombie firm as congestion effects and zombies were spreading in Europe.

He, Li, and Zhu (2018) documented that companies' governmental relations have a positive effect on bankrupt and unproductive with privately owned firms in China. They found that this situation is more clear-cut for firms placed in widespread state involvement or fragile institutional situation. On the other hand, the existence of zombies has greater undesirable effects on the investment and productivity of normal firms compared with zombies in the similar sector for firms without political networks.

Huang and Zhang (2018) examined outward foreign direct investment of the firms without productivity advantages as called zombie firms by using Chinese manufacturing firm-level data between 2002-2005. They

found that some zombie firms got financial maintenance from government to conduct outward foreign direct investment.

Banerjee and Hofmann (2018) investigated the occurrence of zombie firms from end of 1980s with the listed firms in 14 advanced economies. They found that zombie firms' increase is related to decreased financial burden because of low interest rates.

Gouveia and Osterhold (2018) assessed the role of zombies on firm dynamics with using firm-level data set for one of the OECD countries, Portugal. They confirmed the results on the high frequency of zombie firms, considerably less productive than their healthy equivalents and thus lowering productivity down. Furthermore, they found evidence of positive choice within zombies, with the most productive restructuring and the least productive exiting, they also showed that the zombies' productivity threshold for exit is much lower than that of non-zombies, allowing them to stay in the market, distorting competition and sinking wealth.

Goto and Wilbur (2019) focused on zombies in small and medium sized companies of Japan's zombie firms and found that several zombies occur in small and medium sized companies and zombies rate have reverse correlation with firm size.

Du and Li (2019) identified zombie firms with an adapted way by using the survival analysis model to control the influence of environmental ruling about taking out of zombie firms from the market in the energy sector. They found that environmental adjustments can aid the leaving of zombie firms to reach extra ability for energy firms.

Dai, Qiao and Song (2019) used an altered determination way to detect zombies from the coal mining sector in China. They analyzed the occurrence of zombies and dispersal in dissimilar regions and ownership kinds. They investigated the reasons for the occurrence of zombies and assess the efficiency of numerous restructuring actions for undertaking zombie firms.

Andrews and Petroulakis (2019) explored the linking between zombie firms and bank condition with the significances for total productivity in 11 European countries. In the results of their study, zombie firms are linked to fragile banks, the easing financial condition of zombie firms limits markets and decrease productive firms' development.

Rodano and Sette (2019) showed the results of dissimilar methods for the assessments of the existence of zombies in Italy. They used OECD's measure for comparison which classifies zombie firms, according to the

criteria such as firm age and interest coverage ratio. They found that profits taken before amortization and depreciation or after amortization and depreciation have different results.

### **3. THE SCOPE AND METHODOLOGY**

#### **3.1. The Scope**

Web of Science (WoS) is a web based technology platform produced in 1960 and maintained by Thomson Reuters. WoS has gathered scientific information from a comprehensive bibliographic database, citations and references. WoS contains of thousands of journals and congress proceedings, millions of patents and sources of cited references. Zombie firms' studies which are in the database of the WoS Core Collection are in the scope of this study.

#### **3.2. The Methodology**

Bibliometrics covered a ground of knowledge which is beneficial to considerate its changing aspects and create in your mind the developments in scientific frame. It is based on a set of papers and is interested in measurable info and their interactions. Bibliometrics systematizes the current literature, reveals the path of publications, development of the traditional and evolving investigation fields. This method can be assumed as the first stage for accompanying original research, because it permits the determination of breaches and prospects for new theoretical or experimental researches. (Liu et al., 2014; Do Prado et al., 2016). The key indicators handle with quantifying information flows are the frequency, existences of citations or publications as the number and the centrality index (Chen, 2006; Wei et al., 2015).

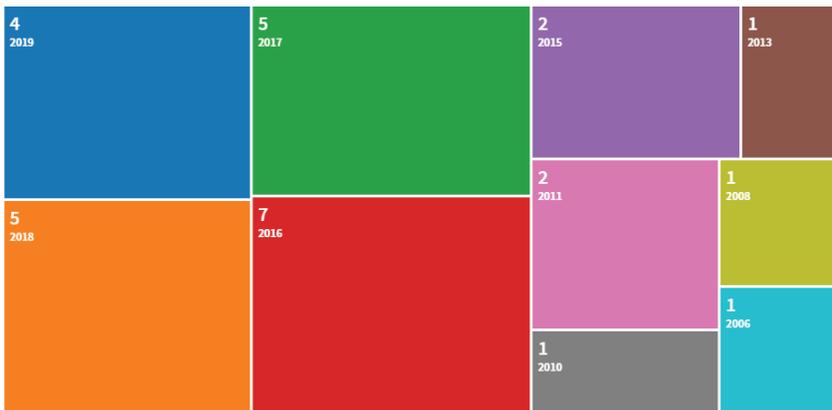
### **4. FINDINGS**

Bibliometric study results of zombie firm in the WoS Core Collection are presented with a visualization of treemap under this heading. Zombie firm related studies according to WoS categories are given in Figure 1.



*Fig. 1. Zombie Firm Related Studies According to WoS Categories*

From 29 record related to zombie firm linked into ten categories such as economics, business, finance, international relations, management, engineering, environmental, environmental sciences, area studies, business, green sustainable technology, environmental studies. Major category is economics with twenty-five publications and business, area studies and environment categories have one publication for each. Publication years and record counts of zombie firm related studies are given in Figure 2.



*Fig. 2. Publication Years and Record Counts of Zombie Firm Related Studies*

The record counts for zombie firm increased from 2006 to 20 August 2019. In last five years (2015-2019), there are twenty-three publications from twenty-nine publications about zombie firm. Document types of studies are given in Figure 3.



**Fig. 3. Document Types of Publications**

From twenty-nine record related to zombie firm studies have different document types such as twenty-three articles, four editorial materials, two proceedings papers, one book chapter and one review. There are several organizations-enhanced related to publications. These are given in Figure 4.



**Fig. 4. Organizations-Enhanced Related with Publications**

The most contributed organizations-enhanced related to publications are University of California System, National Bureau of Economic Research and University of San Diego, 4, 3 and 3, respectively.

Funding agencies of publications linked to zombie firms, according to WoS core collection are given in Figure 5.



Fig. 5. Funding Agencies of Publications

In publications, there are 32 authors contributed to publications and these authors are given with record counts in Figure 6.



Fig. 6. The Authors of Publications with Record Counts

All publications' language in the context of this paper is English. The source titles of publications related to zombie firm are given in Figure 7.



Fig. 7. Source Titles of Publications

Asian Economic Papers has more publication related to zombie firm with 5 publications. International Review of Economics Finance, Journal of Cleaner Production and Journal of the Japanese and International economics have two publications of each from 2000 to 20 August 2019. The research areas of publications are divided into eight groups and shown in Figure 8.

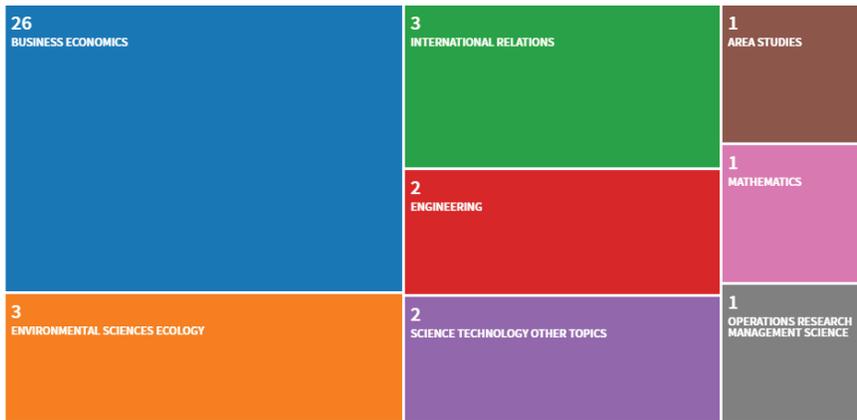


Fig. 8. Research Areas of Publications

The organizations of publications’ authors are given Figure 9.



*Fig. 9. The Organizations of Authors*

Sum of times cited are 438 and without self-citations are 378 from 29 publications related to zombie firm. There are 356 citing articles and 335 citing without self-citations. And also h-index is 7 and average citations are 15.1 per item.

The citation results of publications (publications without citations are excluded) from 2000 to 20 August 2019 are given in Table 1.

**Table 1. The Citation Results by Publication from 2000 to 2019\***

Title	Authors	Source Title	Year	Total Citation	Average Per Year
Zombie Lending and Depressed Restructuring in Japan	Caballero, Ricardo J.; Hoshi, Takeo; Kashyap, Anil K.	AMERICAN ECONOMIC REVIEW	2008	237	19,75
Will the US bank recapitalization succeed? Eight lessons from Japan	Hoshi, Takeo; Kashyap, Anil K.	JOURNAL OF FINANCIAL ECONOMICS	2010	94	9,4
Economics of the living dead	Hoshi, Takeo	JAPANESE ECONOMIC REVIEW	2006	25	1,79
Why Did 'Zombie' Firms Recover in Japan?	Fukuda, Shin-ichi; Nakamura, Jun-ichi	WORLD ECONOMY	2011	22	2,44
Zombie Firms and the Crowding-Out of Private Investment in China	Tan, Yuyan; Huang, Yiping; Woo, Wing Thye	ASIAN ECONOMIC PAPERS	2016	15	3,75
A panel study of zombie SMEs in Japan: Identification, borrowing and investment behavior	Imai, Kentaro	JOURNAL OF THE JAPANESE AND INTERNATIONAL ECONOMIES	2016	13	3,25
Zombie firms and over-capacity in Chinese manufacturing	Shen, Guangjun; Chen, Binkai	CHINA ECONOMIC REVIEW	2017	9	3
Resource reallocation and zombie lending in Japan in the 1990s	Kwon, Hyeog Ug; Narita, Futoshi; Narita, Machiko	REVIEW OF ECONOMIC DYNAMICS	2015	6	1,2
Unconventional Monetary Policy in the Euro Zone	Driffill, John	OPEN ECONOMIES REVIEW	2016	5	1,25
Living with zombie companies: Do we know where the threat lies?	Urionabarrenetxea, Sara; Domingo Garcia-Merino, Jose; San-Jose, Leire; Luis Retolaza, Jose	EUROPEAN MANAGEMENT JOURNAL	2018	3	1,5
Should zombie lending always be prevented?	Jaskowski, Marcin	INTERNATIONAL REVIEW OF ECONOMICS & FINANCE	2015	2	0,4
Can environmental regulation promote the governance of excess capacity in China's energy sector? The market exit of zombie enterprises	Du, Weijian; Li, Mengjie	JOURNAL OF CLEANER PRODUCTION	2019	1	1
The walking dead? Zombie firms and productivity performance in OECD countries	McGowan, Muge Adalet; Andrews, Dan; Millot, Valentine	ECONOMIC POLICY	2018	1	0,5
The Limits to Credit Growth: Mitigation Policies and Macroprudential Regulations to Foster Macrofinancial Stability and Sustainable Debt	Van der Hoog, Sander	COMPUTATIONAL ECONOMICS	2018	1	0,5
Why zombies can go out: evidence from Chinese manufacturing	Huang, Youxing; Zhang, Yan	APPLIED ECONOMICS LETTERS	2018	1	0,5
Trade barrier and misallocations: The case of the photovoltaic manufacturing industry in China	Chen, Yen-Po; Lai, Ting-Wei; Lee, Wen-Chieh; Li, Hao-Chung	INTERNATIONAL REVIEW OF ECONOMICS & FINANCE	2017	1	0,33

Debt Restructuring of Japanese Corporations: Efficiency of Factor Allocations And The Debt-Labor Complementarity	Iwaisako, Tokuo; Fukuoka, Chiaki; Kanou, Takefumi	HITOTSUBASHI JOURNAL OF ECONOMICS	2013	1	0,14
The new main bank system	Kobayashi, Mami; Osano, Hiroshi	JOURNAL OF THE JAPANESE AND INTERNATIONAL ECONOMIES	2011	1	0,11
*As 20 August 2019				438	2,82

## 5. CONCLUSION

In this study, the literature review about zombie firm researches and bibliometric study of zombie firm in the database of Web of Science Core Collection are given. Although the definition of a zombie firm is not involved in the literature precisely, it is seen that there are two main definitions for the zombie firm at first when it is searched. One of the definitions of zombie firm is linked to the relation of firms with zombie lending (zombinomics, productivity, job creation, zombie banking, etc.) and the second definition is about the ratio of earnings before interest and taxes to interest expenses as measurement method.

The bibliometric study of the zombie firm in the database of WoS from 2000 to 20 August 2019 showed that there are not enough publications in the country specific, the researchers mainly focused zombie firms as in the case of Japan and also China. Zombie firm concept rooted from Japanese firms to the literature in publications, so earlier studies are naturally related to Japan. However, recent researches are related to China, OECD and European Union countries. The publication pace of studies increased for last five years, and got more attention from researchers. It seems the zombie firm problem is receiving more attention, being prevalent and widespread in the other regions of the world.

As a result of the literature review, zombie firms are obligated too much because of their debts and insufficient to pay debt's principal just can cover interest expense. Low interest rates, weak capitalized banking system, quantitative easing, haircut operations, the incentives of the sectoral policies of the state and infection effect of zombies to the healthy firms or healthy countries after a while may be research subjects for studies. In the studies to be carried out with zombie firms, it is recommended to researchers to develop models that will determine the spread rate/congestion rate of zombie firms, measurement methods to determine zombie firm, well-designed exit strategies for zombies to take out of the market.

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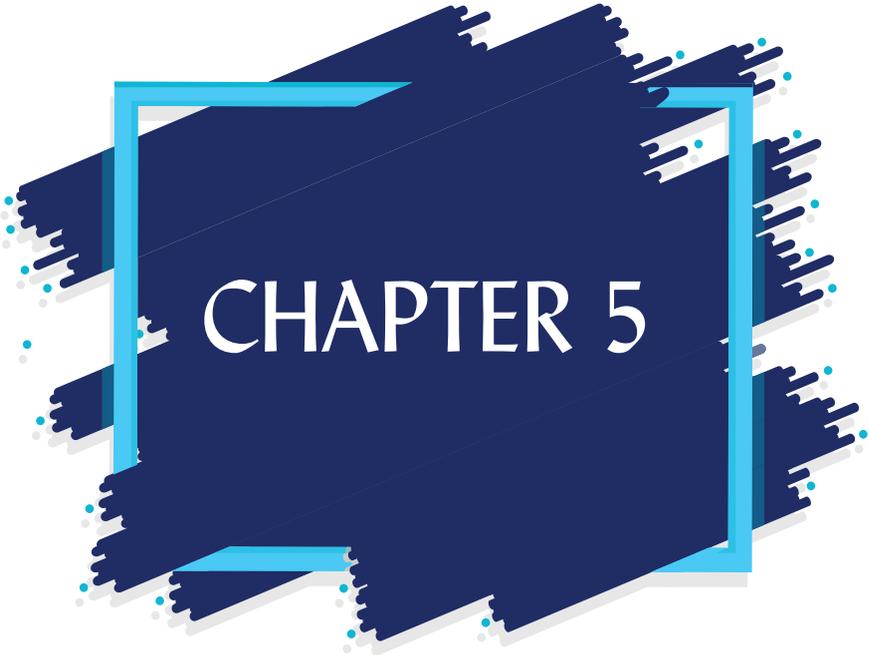
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**THE IMPACT OF EMPATHY  
TRAINING ON THE EMPATHIC  
SKILLS OF GERIATRIC CARE  
CENTRE WORKERS AND THEIR  
ATTITUDES TOWARDS AGEISM**

**Ergün HASGÜL**



**CHAPTER 5**





# **THE IMPACT OF EMPATHY TRAINING ON THE EMPATHIC SKILLS OF GERIATRIC CARE CENTRE WORKERS AND THEIR ATTITUDES TOWARDS AGEISM**

**Ergün HASGÜL**

## **INTRODUCTION**

The term, empathy gained significance in the media, academia, national and international policies, arts, etiquette and the training of health professionals as well as inpatient and geriatric care during the second half of the century (Coplan, 2014). It is believed that because of its immense popularity, only a few studies have been conducted on the development of empathy. The majority of studies on empathy have revealed that it can be developed as a skill and is important in human relations. Recently, in conjunction with enhanced health and sciences, empathy has become an important tool for health professionals.

Didactic teaching was employed primarily in this study to train the skill of empathy. However, role play, experiential training techniques, modelling techniques and creative drama can also be used. The development of these techniques can be traced back to the studies of Rogers who was the first scientist to use empathy training in his studies. Rogers tried to increase the effective communication characteristics needed in consultants so that counsellors could help change consultees' behaviours (Rogers, 1951).

In the literature analysis conducted for the study, training to improve their skills to empathise was conducted with workers in various fields; the regulative, developing and constructive impacts of empathy on human relations and communication was considered (Dawson, Soper & Pettijohn, 1992).

Butler defined ageism, a concept discussed in our study, as the most potent prejudice, discrimination and form of rejection after racism and sexism (Butler, 1969).

Boudjemadi and Gana (2009) and Allan, Johnson, and Emerson (2014) analysed empathy and various factors that have an impact on ageism. However, not many studies have analysed the efficiency of an empathy training programme on ageism and empathy. Consequently, the purpose of this study was to explore the efficiency of empathy training on the empathic skills of geriatric care centre workers as well as their attitudes towards ageism.

## MATERIALS AND METHOD

The aim of this study was to analyse the attitudes of geriatric care centre workers towards empathic skills and ageism. A pretest-posttest control group experimental design was employed to collect data. In pretest-posttest control group designs, two groups are formed through random assignment. One is used as an intervention group and the other as a control group. Measurements before and after the experiment are conducted for both of the groups (Karasar, 2015). The research design of the study is depicted in Figure 1.

### *Study Group*

The population of the study comprised two geriatric care and rehabilitation centres that were affiliated to the policies of the City of Kastamonu's Ministry of Family and Social Department in Turkey: Kastamonu Geriatric Care and Rehabilitation Centre and Tosya Geriatric Care and Rehabilitation Centre. The intervention group included 46 personnel who worked at Tosya Geriatric Care and Rehabilitation Centre whereas the control group included 60 personnel who worked at Kastamonu Geriatric Care and Rehabilitation Centre. Random assignment was used to select the participants of both groups. Random assignment and control groups not only decrease many risks that threaten internal validity, but increase the power of design to determine the relationship between cause and effect (Nahcivan, 2014).

### *Instruments*

The Empathic Skill Scale B Form (ESS-B), developed by Dökmen (1988), and the Ageism Attitude Scale (AAS) developed by Yılmaz and Terzioğlu (2011), were used to evaluate the participants' empathetic skills and their attitudes towards ageism, respectively.

The ESS-B contains six different problems encountered in daily life. Each problem is followed by 12 empathic responses that can be addressed to a person suffering from the problem. Consequently, the respondent is provided with a total of 72 empathic responses; 12 for each problem. One of the 12 responses does not relate to the problem, but is included to identify those who are not paying attention. If a respondent chooses one of these irrelevant responses, which are valued at zero in the scoring, his/her form is excluded from the evaluation. Respondents are asked to choose four of the responses that are linked to each problem. After they have chosen a total of 24 responses, their performance is graded in accordance with the criteria included in the ESS-A form. The lowest and highest possible scores that

can be obtained from the ESS are 62 and 219, respectively. To determine the validity and reliability of the scale, Dökmen (1988) conducted a study on a group of 80 individuals twice; the second test was three weeks after the first. The re-test's reliability was shown to be 0.91, based on the evaluation of the scores of 64 respondents.

The AAS comprises 23 Likert-type items, which are divided in three subscales: Restricting the life of older people, positive discrimination against older people and negative discrimination against older people. Positive attitudes on the scale are rated as follows: 5: I agree totally; 4: I agree; 3: I do not know; 2: I do not agree; 1: I absolutely disagree. Negative attitudes towards ageism are rated as the opposite of the positive attitudes. The highest and lowest possible scores of the scale are 115 and 23, respectively. Higher scores on the scale indicate a more positive attitude towards discrimination against older people. Cronbach's alpha for the validity and reliability of the scale was found to be 0.80 for the whole scale, 0.70 for the limited bottom dimension, 0.70 for the discrimination positive bottom dimension and 0.67 for the discrimination negative bottom dimension. Studies of validity and reliability of the AAS were conducted by Yılmaz and Terzioğlu (2011).

### *Developing Empathy Training*

The empathy training used in this study was inspired by material from *Empathy Increasing*, which was prepared by Centre for Building a Culture of Empathy and Compassion in 2013.

The opinions of three experts, namely, a language specialist, assessment and evaluation expert and training programming specialist were sought for the Turkish adaptation of the training. In line with these opinions, the empathy training was developed to be used in geriatric care centres. The original training of 15 hours of four modules was changed to eight sessions with the consideration of the expert opinions, but without changing the goals thereof. The reason for this change was that the original duration of four hours for each module would have affected the working hours of the geriatric centre. Consequently, each module was divided into two sessions with each session lasting approximately two hours. In total, the training period was 16 hours.

### *Data Analysis Process*

The data for the study were acquired from the information collected through the AAS and EES-B. Descriptive statistics of the data were calculated, including percentages. The data were analysed by employing SPSS version 16.0. The normality of the data was analysed by using the Shapiro–Wilk test.

Mean scores were calculated between the intervention and control groups so as to determine whether there was a significant difference between the empathic skills of the workers and their attitudes towards ageism after the empathy training; subsequently, the Wilcoxon signed rank test was performed. Pearson correlation coefficient and t-test were conducted so as to analyse certain socio-demographic variables as well as the correlation and difference between the pretest and posttest scores of the ESS-B and AAS. Pearson's correlation coefficient ( $r$ ) values were classified as weak (.00–.19), mild (.20–.39), moderate (.40–.59), moderately strong (.60–.79) and strong (.80–1.0) relations between the variables. P values less than .05 were considered to be statistically significant.

## RESULTS

The mean age of the participants was  $35.65 \pm 8.49$  years (ranging from 22 to 53 years). The socio-demographic characteristics of the participants are presented in Table 1.

**Table 1.** Distribution by Sociodemographic Characteristics

Variables	n	%
<b>Gender</b>		
Male	39	60.0
Female	26	40.0
<b>Education Status</b>		
High School	45	69.2
Bachelor Degree	19	29.2
Master Degree	1	1.6
<b>Marital Status</b>		
Married	47	72.3
Single	15	23.1
Divorced	3	4.6
<b>Occupation</b>		
Caregiver	55	84.7
Nurse	6	9.3
Nutritionist	1	1.5
Religious Official	1	1.5
Physiotherapist	1	1.5
Psychologist	1	1.5
<b>Living Status with Elderly</b>		
Yes	27	41.5
No	38	58.5
<b>Total</b>	<b>65</b>	<b>100</b>

The mean scores of the ESS-B before training in the intervention group was lower than the mean scores of the ESS-B after training. Furthermore, it was statistically significant ( $p < 0,001$ ) (Table 2).

**Table 2.** Analysis of Results of the Intervention and Control Groups' ESS-B Scores

Groups	Pretest			Posttest			P	Effect Size
	N	Mean	SD	n	Mean	SD		
Intervention	34	129.50	19.46	34	160.26	23.90	<b>.000*</b>	1,451**
Control	31	132.16	19.76	31	131.71	12.85	.918	

\*  $p < 0.05$  \*\* Hedges' g value

An examination of the scores of the pretest and posttest revealed that the mean score of the AAS and its subscales did not change for the control group. The mean score of the restricting life of older people subscale, negative discrimination subscales and the AAS for the intervention group before and after training was statistically significant ( $p < 0.05$ ). However, the mean score of the positive discrimination subscale for the intervention group was not statistically significant ( $p > 0.05$ ) (Table 3).

**Table 3.** Analysis Results of the Groups' Ageism ASS and Subscales Scores

Scales		Pretest		N	Posttest		P	
		Mean	SD		Mean	SD		
Restriction	Intervention	34	35.73	3.54	34	37.68	3.39	<b>.011*</b>
	Control	31	35.93	5.99	31	35.55	4.70	.736
Positive Discrimination	Intervention	34	32.41	3.90	34	32.97	3.66	.233
	Control	31	29.51	4.54	31	29.29	5.41	.559
Negative Discrimination	Intervention	34	15.68	3.05	34	17.35	3.33	<b>.006*</b>
	Control	31	17.26	3.82	31	17.74	4.32	.447
AAS Total	Intervention	34	83.82	7.19	34	87.91	8.17	<b>.002*</b>
	Control	31	82.70	9.33	31	82.61	9.43	.739

AAS: Ageism Attitude Scale \*  $p < 0.05$

When the relationship among age, gender, educational status, occupation, status of living with an elderly person and the mean scores of their AAS and subscales of the geriatric care centre workers were analysed, a positively weak and significant correlation between the participants' age and AAS scores ( $p < 0.01$ ) was found. A negatively weak and significant correlation between the mean scores of the negative discrimination subscale and the participants' age ( $p < 0.01$ ) was revealed. Furthermore, there was a positively weak and insignificant relationship between the restricting life of older people

subscale, positive discrimination subscale and the participants' age ( $p > 0.05$ ). No significant difference between gender, education, status of living with an elderly person and ASS and the scores of restricting life of older people subscale, and positive and negative discrimination subscales ( $p > 0.05$ ) was found. In addition, there was a low but positive and significant correlation between the ESS-B scores and AAS total scores ( $p < 0.05$ ) (Table 4). The Pearson correlation coefficient results are presented in Table 4.

**Table 4.** Correlations Among Age, Scores of ESS-B and AAS

	1	2	3	4	5	6
1 Age	-					
2 Restricting life of elderly	.143	-				
3 Negative Discrimination	-.419**	.224	-			
4 Positive Discrimination	.222	.441**	.001	-		
5 AAS Total	.365**	.796**	.536**	.737**	-	
6 ESS-B	.013	.264*	.056	.195	.246*	-
	.921	.034	.656	.120	.048	

ESS-B: Empathic Skill Scale B Form; AAS: Ageism Attitude Scale

\*Correlation is significant at the 0.05 level (2-tailed). \*\*Correlation is significant at the 0.01 level (2-tailed).

A significant difference between the status of living with an elderly person and the ASS ( $p < 0.05$ ) was found. Accordingly, the score of the ASS for the participants who answered yes to the status of living with an elderly person ( $88.03 \pm 8.35$ ) was significantly higher than the total score of the AAS for those who answered no ( $83.50 \pm 9.28$ ). It can be concluded that living with an elderly person decreases discrimination against the elderly.

## DISCUSSION

The results of the current study revealed that empathy training with geriatric care workers increased their empathic skills and decreased their negative attitudes towards the elderly. Although the mean score of the ESS-B of the intervention group was lower before training than the mean score of the ESS-B after training, it was statistically significant. Consequently, it can be concluded that the empathy training significantly increased the empathic skills of the geriatric care centre workers. Previous studies have also shown that empathic skills increased with training (Dawson, Soper & Pettijohn, 1992; Ünal, 2003).

In this study, when the correlation between the scores of ESS-B and AAS of the geriatric care workers were analysed, there was a low but positive significant correlation between the ESS-B posttest scores and AAS posttest scores. As the ESS-B scores increased, the AAS scores increased accordingly as well. This was further supported by the non-existing correlation between the pretests. As the empathic skills increased through empathy training so did the positive discrimination against the elderly. Galinsky and Moskowitz found that understanding an elderly person's perspective assists in decreasing prejudice against the elderly (Galinsky & Moskowitz, 2000). Consequently, one may assume that acquiring perspectives facilitates a young people's skills to empathise with and show respect to elderly people. Boudjemadi and Gana revealed that higher levels of empathy were related to lower levels of ageism (2009). Allan et al. demonstrated that empathy had a negative correlation with ageism (2014). Thus, as empathy increases, ageism decreases accordingly. McGuire et al. found that ageism may prevent people from being sensitive towards the elderly; this was becoming widespread (McGuire, Klein & Chen, 2008). Legana, Gavrilova, Carter, and Ainsworth (2017) concluded that with an increase of discriminatory attitudes against the elderly, interpersonal empathy decreased. Studies on ageism beliefs have reinforced the conclusion that conducting training on ageing increased empathy and positively changed attitudes towards the elderly (Levy, 2016). This was particularly evident among students in helping professions (Lambrinou, Sourtzi, Kalokerinou & Lemonidou, 2009). It has been noted that understanding the elderly, building relationships with them and demonstrating empathy towards them could decrease ageism (Legana, Gavrilova, Carter & Ainsworth, 2017).

In this study, the impact of empathy training on the AAS scores of the geriatric care centre workers were analysed. The mean score of the restricting life of older people subscale of the control group in the pretest and the mean score of the restricting life of older people subscale in the posttest did not change. Furthermore, the mean score of the restricting life of older people subscale of the intervention group before training was lower and statistically significant in comparison to the mean score of the restricting life of older people subscale after training. Therefore, the relationship between the empathy training and the restricting life of older people by geriatric care centre workers was significant. Furthermore, the training positively affected the restrictive attitudes of the geriatric care centre workers towards the elderly. The mean score of the positive discrimination subscale of the control group in the pretest and the mean score of the positive discrimination subscale in the posttest did not change. Furthermore, the mean score of the positive discrimination subscale of the intervention group before training

was lower than the mean score of the positive discrimination subscale after training. Consequently, the empathy training appeared to increase the score of the positive discrimination subscale against the elderly, even though it was statistically insignificant. Furthermore, the mean score of the negative discrimination subscale of the control group in the pretest and the mean score of the negative discrimination subscale in the posttest did not change. Thus, the mean score of the negative discrimination subscale of the intervention group before training was lower and statistically significant in comparison to the mean score of the negative discrimination subscale after training. Consequently, empathy training decreased the score of the negative discrimination subscale in a statistically significant way.

Previous studies have demonstrated that certain factors such as age, gender and education have an impact on the attitudes towards the elderly (Pekçetin, 2018; Bleijenberg, Jansen & Schuurmans, 2012; Hweidi & Al-Obeisat, 2006). We only found a correlation between the participants' age and AAS scores. Accordingly, when age increases, the attitude towards the elderly increases in a positive and significant way. Liu et al. concluded that an increase in age also increased a positive attitude (Liu, Norman & While, 2013). Previous studies have also concluded that age and ageism are related (Hweidi & Al-Obeisat, 2006; Holroyd, Dahlke, Fehr, Jung & Hunter, 2009)

The current study showed that living with an elderly person positively affected the ageism attitudes of participants. Accordingly, the total score of the participants who answered yes to the status of living with an elderly person on ageism was significantly higher in the AAS scores than those who answered no. One may conclude that living with an elderly person decreases the discrimination. Yazıcı et al. found a significant difference between the status of living with an elderly person and the AAS (Yazıcı, Kalaycı, Kaya & Tekin, 2015). Altay and Aydın revealed a significant difference between living with the elderly and ageism attitude (Altay & Aydın, 2015). Gallagher et al. found that the nurses, who spend a lot of time with the elderly, have a more enhanced understanding of the elderly (Gallagher, Bennett & Halford, 2006). There was a negatively weak and insignificant difference between gender, education, occupation, living status with an elderly person and AAS scores. In addition, there was a weak and significant correlation between the age and scores of the negative discrimination subscale. This result shows that an increase in age decreased the score of the negative discrimination subscale. There was a positively weak and insignificant correlation between the scores of restricting life of older people subscale and the positive discrimination subscale. There was no significant difference between gender, education, status of living

with an elderly person and AAS scores, and positive discrimination and negative discrimination subscales. Yazıcı et al. did not find a statistically significant difference when they analysed the mean scores of the AAS and subscales, and its relationship with gender and education (2015). Soyuer et al. did not find a significant difference between the ageism attitudes and gender (Soyuer, Ünalın, Güleser & Elmali, 2010).

## **CONCLUSION**

The empathy training given to the intervention group significantly increased the mean score of the geriatric care centreworkers in the AAS, and the mean scores of restricting life of older people subscale and negative discrimination subscales statistically. Thus, it can be concluded that the empathy training positively increased the attitudes of the geriatric care centreworkers towards the elderly and decreased restricting the life of elderly and negative discriminatory behaviours against the elderly. Consequently, it is considered to be important to conduct empathy training for employees who help the elderly.

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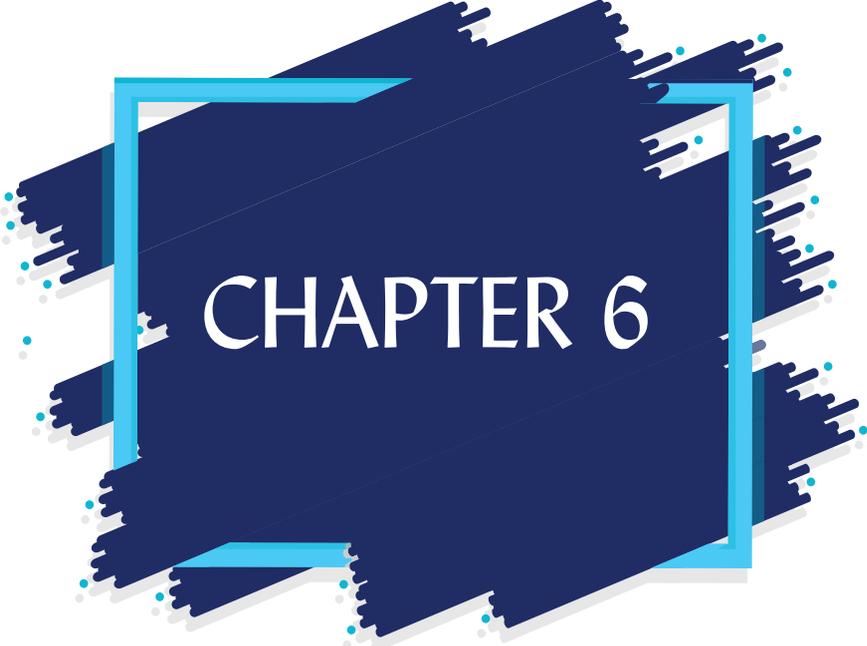
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# NEW TRENDS IN THE APPLICATION OF INFORMATION SYSTEMS IN DIFFERENT FIELDS

Fatih Çağatay BAZ<sup>1</sup>



## CHAPTER 6





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## NEW TRENDS IN THE APPLICATION OF INFORMATION SYSTEMS IN DIFFERENT FIELDS

**Fatih Çağatay BAZ<sup>1</sup>**

### INTRODUCTION

Information systems are making rapid progress day by day. Progress in information systems affects many areas. Recent advances in technology have brought about the concept of 4.0. New trends in web technologies are called Web 4.0. New trends in education are called Education 4.0, and new trends in industry are called Industry 4.0. In addition, the logistics area has been updated with new trends. New trends in logistics have been renamed Logistics 4.0. These developments have accelerated the processes from 1.0 to 4.0 thanks to the rapid progress in information technologies since 2000. Advances in information technologies have necessitated the integration of different fields. It is not possible to separate web technologies from industry, education or logistics. In addition, new technologies have emerged that concern all of these areas. Internet of things, semantic web, cloud computing and many new e-application environments are among the technologies used.

### Current E- Applications in Information Systems

In recent years, the world has changed dramatically. Since the beginning of 2000, computerization, mobile technologies and cloud services have provided a strong transition from digital to digitalization, which is largely independent of time and location. Increasing digitalization of business processes has brought great importance not only to web-based and mobile applications, but also to services based on intelligent analysis of large volumes of data.

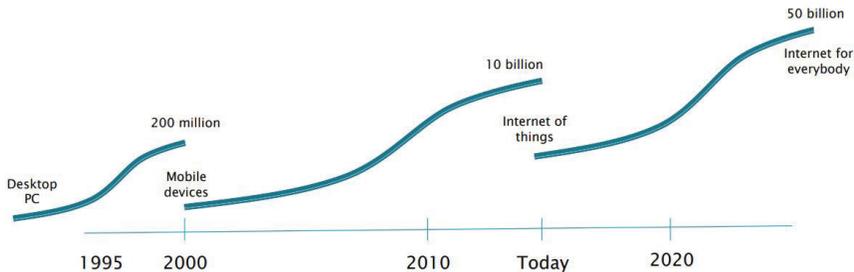
As the world begins to experience the Fourth Industrial Revolution, data processing and storage capacities exponentially increase, and knowledge becomes more accessible to more people than ever seen in human history. The effects of new technologies, such as the Internet of Things (IoT), Artificial Intelligence, 3D Printing, Energy Storage and Quantum Computing, have a high potential for human development. In the Fourth Industrial Revolution; speed, efficiency, cost and innovation-oriented production and marketing concept is expressed in a new level thanks to rapidly developing technology opportunities (Firat & Firat, 2017; Soyulu, 2017).

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In 4.0, this code was first used to mark the devastating change in the manufacturing industry through the widespread application of ICT using the term Industry 4.0. Since then, 4.0 has been applied to many areas that are equally affected by the rapid changes we face today, such as Work 4.0 or Healthcare 4.0 in general (Wallner & Wagner, 2016).

The rapid advance in technology has led to the use of many devices in every field. From the process that started with desktop computers to the use of the Internet today has shown a rapid development. Figure 1 shows the use of devices brought about by important trends.



**Figure 1.** *Important Trends and Number of Associated Devices (Tamas & Illes, 2016)*

In this study, current e- applications in the field of information systems are discussed. These current topics are; New trends in web technologies, new trends in education, new trends in industry and logistics.

## 1. New Directions in the Field of Web Technologies: Web 4.0

A web service is a software system designed to support interaction over the internet. Nowadays, there is a need for information exchange and efficient communication in every field. The web is an increasingly important resource in many areas of life: education, employment, government, commerce, health, recreation, and more. The web is a system of interconnected, hypertext documents accessed over the internet. With a web browser, the user displays web pages that can contain text, images, videos, other multimedia, and navigates between them using hyperlinks. It is an effective approach that people use to communicate and interact with each other. The latest developments in Information Technology (IT) have not only improved the possibilities of accessing, storing and processing information worldwide, but also brought about significant changes in concept, advanced services, operation and management. The World Wide Web (www) has developed exponentially over the last few years (Naik & Shivalingaiah, 2008; Hiremath & Kenchakkanavar, 2016).

In the last two decades, many progress has been made in the field of web technologies. Web 1.0 as an information network, web 2.0 as a communication network, web 3.0 as a collaboration network and web 4.0 technologies as an integration network have been introduced as four generations of web since the emergence of the web concept (Aghaei, Nematbakhsh & Farsani, 2012; Tekdal, Sayginer, & Baz, 2017). Web 4.0 offers the most comprehensive and personalized new user interaction model. It is not limited to display information only. In addition, Web 4.0 offers to act as a smart mirror that provides concrete solutions to the needs of the user (Nath & Iswary, 2015).

Web 1.0 provided users with a platform to search and purchase products or services from anywhere, anytime. Web 2.0 made it easy for users to share their views and ideas with other users around the world through social media. Web 3.0 added machine learning to web pages that reduce human cognitive efforts to deal with the Internet. The symbiotic nature of Web 4.0 will bring a new era in the human-social relationship with the web (Solanki & Dongaonkar, 2016).

Web 1.0	Web 2.0	Web 3.0
1996 – 2004	2004 -2016	2016+
<i>The Hypertext Web</i>	<i>The Social Web</i>	<i>The Semantic Web</i>
<i>Tim Berners Lee</i>	<i>Tim O'Reilly, Dale Dougherty</i>	<i>Tim Berners Lee</i>
<i>Read Only</i>	<i>Read and Write Web</i>	<i>Executable Web</i>
<i>Millions of User</i>	<i>Billions of User</i>	<i>Trillions+ of Users</i>
<i>Echo System</i>	Participation and Interaction	Understanding self
One Directional	Bi-Directional	Multi-user Virtual environment
Companies Publish Content	People Publish Content	People build application though which people interact and publish content
Static content	Dynamic content	Web 3.0 is curiously undefined. AI and 3D, The web learning
Personal Websites	Blog and Social Profile	SemiBlog, Haystack
Message Board	Community portals	Semantic Forums
Buddy List, Address Book	Online Social networks	Semantic Social Information

**Table 1.** Comparison of Web 1.0, Web 2.0 and Web 3.0 (Choudhury, 2014)

Although the web is a young communication channel, it has been actively used by several generations in a very short time. The evolution of the web was realized at the strong pace of technology growth. Today, the web provides a fast information and information dissemination channel that enables companies not only to increase their productivity but also to offer new products and services to their customers. In addition, consumers also have an excellent channel for communicating with companies, expressing their views on products and services, and interacting with other consumers (Almeida, 2017).

Web 4.0 technologies benefit from a comparison of the factors that affect students' learning experiences between different web technologies. Web 4.0 technologies can be compared to past Web technologies to determine whether improvements have been made to distance learning courses that affect learning experiences, or whether the factors that repeat themselves from one Web generation to another are the same (Kimbrell, 2013).

## **2. New Directions in Education: Education 4.0**

In a rapidly changing world, the economy has led to a transformation from agricultural to industrial society through progress in information technology and innovation, the so-called 4.0 era. Therefore, it is very important for young people to keep up with change in order to compete. The student must have the skills and abilities to respond to social changes. It is a challenge to redefine Education 4.0 to identify people who are creative and innovative. It is imperative that the student investigate the learning outcome (Puncreobutr, 2016).

The education process supported by information and communication technology has changed traditional education. With the use of new teaching and learning methods, concepts such as computer-based learning, online learning, web-based learning and e-learning are currently used (Nedeva & Dineva, 2012).

Attribute	Education 1.0	Education 2.0	Education 3.0	Education 4.0 (still emerging)
Teacher	Knowledge source	+ Counselor, guide	+ Leader of collaborative knowledge creation	+ Supported by an AIbased learning portal
Content delivery	Traditional copyright support	+ Free/OER* (inside disciplines)	+ OER created and used by the learner; delivered across disciplines, institutions, certified sources (MERLOT, Coursera)	+ Available in AIbased learning portals integrating certified OER with individual adaptive learning
Learning process	Lectures, essays, assignments, written and oral tests, bounded group work	+ More open technologies (such as Arduino); learning by project; confined to institution and classroom boundaries	+ Open learning activities addressing student creativity; social networking outside boundaries of discipline, institution, and nation	+ Adaptive learning driven by the AI portal tuning the learning process according to real-time learner profiles
Learning organization	Buildings with fixed boundaries among co-located institutions; teaching, assessment, and accreditation by a single institution	+ Collaboration among institutions (ERASMUS, EU student exchange); still 1-to-1 affiliation between learner and institution	+ Teachers exchange, oneto-many affiliation between learners and institutions (for example, double degree)	+ Institutional affiliations irrelevant; new institutions providing AI-driven high/ higher education on Internet; breakdown of national, regional, and institutional boundaries
Student	Mainly passive	+ Evidence of transition to an active profile; enhanced ownership of own education process	+ Ownership of own education plan, co-develops new ideas and artifacts	+ Autonomous; counselors and AI help co-develop education plans, continuously updated by adaptive mechanisms
Means	E-learning management system, but limited to a single institution	+ E-learning collaborations involving other institutions, mainly within the borders of a single learning management system	+ Web-driven technologies to address full individual distributed learning environments consisting of a portfolio of applications (for example, MOODLE)	Web-driven e-learning organizations integrated with several AI applications
*OER: open educational resources				

**Table 2.** Educational Profiles (Demartini & Benussi, 2017)

Many new technologies in education systems focus on technical areas such as big data, implanted technologies, digital goggles, wearable internet, internet of objects that enable machines to talk to each other, intelligent cities and unmanned autonomous factories, 3D printers and additive manufacturing. In addition, it will be necessary to form effective brains for analytical thinking, reconciliation with digital culture, intellectual capital management, idea banks, to produce project and scenario based solutions to sociocultural events, to be proactive, to see their own deficiencies, to read developments closely, and to focus on the big picture (Öztemel, 2018). In this sense, Education 4.0 provides students with basic information about innovation, monitoring of information production (Harkins, 2008).

### **3. New Directions in Industry: Industry 4.0**

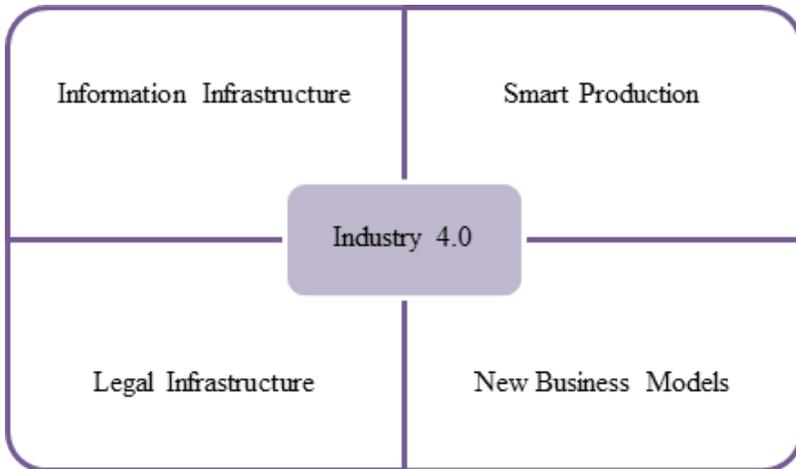
In industrial developed countries, the creation of industrialization value is now shaped by the so-called Industry 4.0, the fourth stage of industrialization. This development follows the third industrial revolution that began in the early 1970s and relies on electronics and information technologies to achieve a high level of automation in production (Yıldız, 2018).

Industry 4.0 scenarios and new approaches in robotics also lead to large, potentially different expectations. On the basis of previous developments, the assumption of different effects can be studied. Opportunities and risks are not so far apart. Previous forms of organization and organization are no longer effective in some cases; new processes and mechanisms (Pfeiffer, 2015). Industry 4.0's vision will bring not only new approaches, but also the methodologies and technologies that companies should have. Of course, the transition to such a sophisticated production will not be possible immediately. The main reasons for this are high financial costs and the absence of qualified employees (Benesova & Tupa, 2017).

Bulut and Akçacı (2017) state that Industry 4.0 is built on 4 main technological developments. These are listed as follows:

- Dramatic changes in production systems with 3D printers
- Coordination of all devices and robots with the Internet of Things (IoT)
- Increasing the use of information to different dimensions through cameras and sensors in all processes with augmented reality
- Introduction of autonomous robots to the current life with the spread of robot technology in every field

It is possible to implement Industry 4.0 with the preparation of some infrastructures. Özsoylu (2017) expresses the structure of Industry 4.0 as in Figure 2.



**Figure 2.** *Industry 4.0 Structure (Özsoylu,2017)*

As shown in Figure 2, Özsoylu (2017) stated the structure of Industry 4.0. Accordingly, it is not possible to realize without the Industry 4.0 IT infrastructure. Intelligent production will take place with the IT infrastructure, that process will be strengthened by legal infrastructure and will continue to develop with new business models.

Although the operation of Industry 4.0 is unmanned, it is necessary to have a skilled labor force capable of meticulous planning ability, advanced programming knowledge and maintenance. Thus, new technological means of production take part in the production process for functioning and reduce the demand for labor power. It also emphasizes qualitative skill in the demanded labor (Aksoy, 2017). For all these reasons, the operation in Industry 4.0 takes place with robotic devices, but there is a need for skilled people to build the whole system. New curricula are required to introduce today's students and industrial users to the topic and related challenges. The interdisciplinary and holistic approach required by the Industry 4.0 scenario is not learned by classical courses and internships (Faller & Feldmüller, 2015).

Industry 4.0 is a new production paradigm that brings together the physical and virtual worlds of intelligent factories, machines, systems, production and processes using CPS technology (Nunes, Pereira & Alves, 2017). Şener and Elevli (2017) state that the four most important elements that differentiate Industry 4.0 from the other three industrial revolutions are Sensor, Data, Information and Processing. By combining these four

elements, unskilled labor is eliminated. Figure 3 shows how these four elements are included in Industry 4.0.

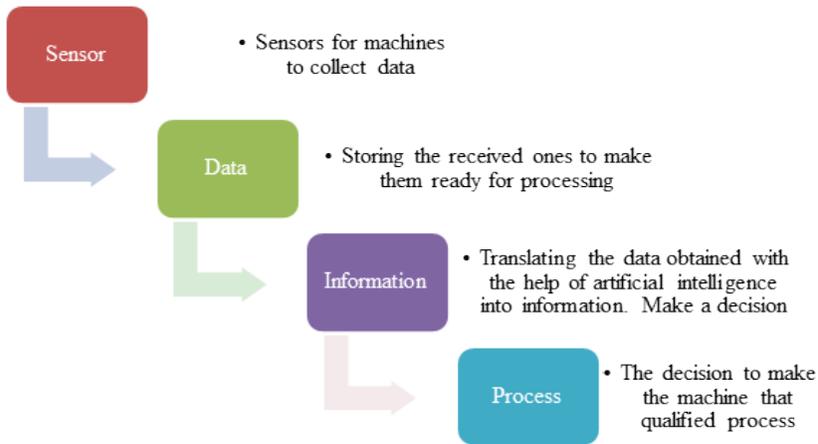


Figure 3. Industry in Four Operations 4.0 (Şener & Eleveli, 2017)

Selek (2016) lists the advantages of Industry 4.0 as follows:

- Facilitate system monitoring and diagnostics
- Self-awareness of systems and components
- The system is environmentally friendly and sustainable with resource saving behaviors
- Ensuring higher productivity
- Increasing flexibility in production
- Cost reduction
- Development of new service and business models

#### 4. New Directions in Logistics: Logistics 4.0

Today, the vast majority of logistics companies are committed to product, technical, technological and organizational innovation. Businesses are working hard on delivery time delivery services, product availability and reliability. This is because they are more aware of the growing customer requirements and are focused on creating value for the customer. The latest solutions such as the Internet of Things, Big Data and Industry 4.0 create opportunities to meet the needs of customers and also contribute to the development of logistics and supply chain management (Witkowski,

2017). In this way, companies can accommodate the rapid progress in technology with Logistics 4.0 technology.

The fourth industrial revolution involves a series of advances involving both products and processes. Intelligent products represent one of the key aspects of this new industrial paradigm, representing diverse potentials for organizations and markets (Wallner & Wagner, 2016). Logistics has an important place in such a comprehensive and high potential areas. Logistics has been used as a competitive weapon for customer satisfaction and distribution optimization in terms of supply chain management. Therefore, it is also the key to global competition (Burmaoğlu, 2012). In this respect, it can be stated that it is inevitable to follow the developments in the field of logistics.

Logistics 4.0 is a current topic that includes “Smart Services” and “Smart Products”. We use the technology-oriented approach used to describe “Smart Products” and “Smart Services” to identify Smart Logistics. Smart products and services are the ones that can perform tasks performed by people. In addition, it enables employees to focus on tasks that require more than automated processes or the wisdom that a simple Smart Product or Smart Service can provide. Industry 4.0 provides the creation of global networks of Logistics 4.0, which will include product and storage facilities in the form of Cyber-Physical Systems, which can independently communicate, produce and control themselves. This enables improvements to Logistics 4.0 in the areas of design, production and distribution (Maslaric, Nikolicic & Mircetic, 2016; Barreto, Amaral & Pereira, 2017).

	<b>Period</b>	<b>Description</b>
Era 1 (Farm to market)	1916–1940	transport and distribution of main interest, base: transporting products to points of sales, large influence of economics on logistics
Era 2 (Segmented Functions)	1940–1960	distinguishing independent functions: warehousing, inventory management, sales and transport (coming in and out) increase in the physical distribution efficiency,
Era 3 (Integrated Functions)	1960–1970	integration of functional areas, implementation of the term „total costs” to business practice, system approach, distribution as a process from the reception of ready-made products from an assembly line to their delivery to the final user

Era 4 (Customer Focus)	1970–1985	customer-focused, customer service perceived as a physical distribution element, logistics popularity increase in science, interest in inventory productivity and inventory balancing costs,
Era 5 (Logistics as a Differentiator)	1985–1997 (publication data)	logistics as a key factor in the enterprise differentiation strategy and in obtaining a competitive advantage and value added, integrated supply chain management, influence of IT technologies, logistics perceived as a sequence of business processes,
Era 6 (Behavioral and Boundary Spanning)	Future (with respect to the article publication date)	interest in customer behaviour and integrated supply chain management, logistic customer service as a priority, cooperation between enterprises that perform logistic functions

**Table 3.** *Evolution of Logistics (Szymanska, Adamczak & Cyplik, 2017)*

## RESULT

In recent years, the economy and market requirements have been a global structure. The rapid developments in this global structure lead to the need to respond to the highly complex and intensive demand of the study areas. In order to achieve this, we introduce smart products, distribute them, new product development approaches and many other topics. Processes starting from the use of appropriate approaches also require different factors from efficiency to competition. Because of all these issues, it is now a necessity to use the highest level of information systems.

Information systems are making rapid progress day by day. Progress in information systems affects many areas. These developments have accelerated the processes from 1.0 to 4.0 thanks to the rapid progress in information technologies since 2000. Recent advances in technology have brought about the concept of 4.0. New trends in web technologies are called Web 4.0. New trends in education are called Education 4.0, and new trends in industry are called Industry 4.0. In addition, the logistics area has been updated with new trends. New trends in logistics have been renamed Logistics 4.0. Advances in information technologies have necessitated the integration of different fields. It is not possible to separate web technologies from industry, education or logistics. In addition, new technologies have emerged that concern all of these areas. Internet of things, semantic web, cloud computing and many new e-application environments are among the technologies used.

With the onset of the fourth industrial revolution, knowledge has evolved more than ever in its historical dimension. This makes it necessary

to store and process the data quickly. Again, it is imperative that people use technology to provide them. The Internet of Things, Artificial Intelligence and Quantum Calculations come to the forefront as technologies that facilitate people's work. Thanks to these technologies, cost expenses are reduced and speed and efficiency are achieved.

As a result, new orientations and new topics are introduced in the application of information systems in different fields. Rapidly advancing technology will continue to rapidly introduce new concepts to people.

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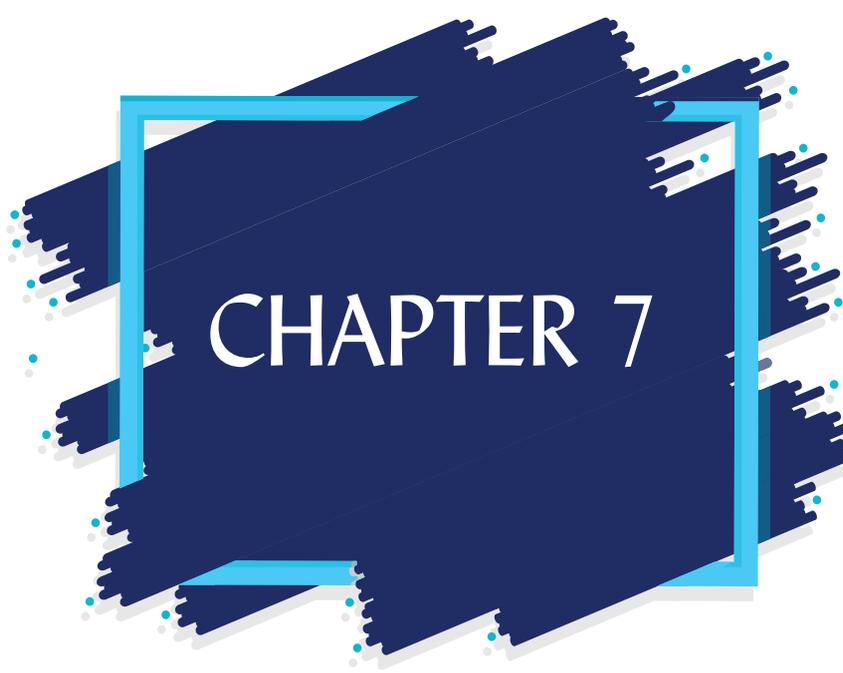
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# THE IDEA OF EQUALITY IN THOMAS HOBBS

Fehmi ÜNSALAN



## CHAPTER 7





## THE IDEA OF EQUALITY IN THOMAS HOBBS

Fehmi ÜNSALAN

### INTRODUCTION

Thomas Hobbes, one of the most important thinkers of modern political philosophy, stands out as one of the main sources of discussions that especially continued until Hegel. In this sense, Hobbes's thought is interesting in many respects, especially in the context of discussions regarding equality, which are manifested by the impact of the Enlightenment. In fact, the fact that the emphasis on equality is addressed in a negative manner, that is in terms of powers to kill renders Hobbes's definition different. In this study, the question of equality and its effects in the context of political philosophy will be discussed. The framework that makes possible the idea of equality manifested in Hobbes's thought should be considered in contrast to Aristotle's theory. In this sense, the main difference of Hobbes's thought from Aristotle and Plato's ideas is that it proposes a psychological model in contrast to the claim that a relationship in which the mind and the desire are harmoniously integrated is necessary for political activity. Hobbes regards inequality between the sovereign and the contractor as both a condition of peace and a manifestation of separation from tradition.<sup>1</sup>

According to Hobbes, the unequal position of the sovereign is primarily related to the idea of equality in the context of political peace conditions. The first of political peace conditions can be reduced to the following principles: One should regard everyone in an equal manner and should not expect more than allowed from the other. The second condition of

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1 "Not a party to the covenant, and not better by nature than any of the covenanters, the sovereign is given all ultimate judicial and legislative authority, both ecclesiastical and civil; this is demanded by the logic of the condition of peace. His position creates the authoritative condition for proper political activity. By the centralization of power and political language in the sovereign, he can define justice or allowable social "movement" through the civil laws which instantiate the laws of nature and achieve their purpose of peace. The power of commonwealth adds together the power of the individuals that compose it and provides, through that addition, the basis for a public worth of a person, as well as for a public standard of behavior ... Political preference making for inequality, including the inequality of the sovereign as a natural individual, exists because it is grounded in the equality wherein the sovereign, as an artificial individual, represents the covenanters: "A multitude of men are made one person, when they are by one man, or one person represented; so that it be done with the consent of every one of the multitude in particular." Thus, the apparent inequality of the sovereign is rationalized through a "legal fiction" to be a further equality, once more showing Hobbes, this doyen of modern political thought, to have reversed the pivotal concept of classical political thought." (Bertman, 1976, p. 544)

peace is that everyone should see the ruler as the sole fount of honour.<sup>2</sup> The reason for this condition was directly passed to Hobbes from Machiavelli. Thinking of human at a certain level, morally and politically, reinforces the view that the state is based on a universal code rather than showing a tendency towards a hierarchy. In this sense, the state of nature is, in the simplest logic, the state that makes it possible, in the absence of a superior authority imposing sanctions and rules to rule the public's attitudes towards one another, a compulsory relationship. Hobbes shares his views on equality and the nature of the state in his work titled *De Cive* by arguing Aristotle:

The question whether of two men be the more worthy, belongs not to the naturall, but civill state; for it hath been shewed before, Chap. I. Art. 3. that all men by nature are equall, and therefore the inequality which now is, suppose from riches, power, nobility of kindred, is come from the civill Law. I know that Aristotle in his first book of Politiques affirms as a foundation of the whole political science, that some men by nature are made worthy to command, others onely to serve; as if Lord and Master were distinguished not by consent of men, but by an aptnesse, that is, a certain kind of naturall knowledge, or ignorance; which foundation is not onely against reason (as but now hath been shewed) but also against experience: for neither almost is any man so dull of understanding as not to judge it better to be ruled by himselfe, than to yeeld himselfe to the government of another; neither if the wiser and stronger doe contest, have these ever, or often the upper hand of those. Whether therefore men be equall by nature, the equality is to be acknowledged, or whether unequall, because they are like to contest for dominion, its necessary for the obtaining of Peace, that they be esteemed as equall (Hobbes, 1987, p. 68).

## EQUALITY AND STATE OF NATURE

Hobbes, who views equality as a precondition for peace, defines it as the eighth article of natural law. In order to mention peace, it is compulsory that everyone is considered equal. The violation of this law is described by Hobbes as arrogance. He gives a definition of intellectual virtue in Chapter 8 of Book I in *Leviathan*. According to Hobbes, if all things existed equally among all human beings, nothing would be rewarded an extra value. The discussion of intellectual virtues is one of the issues that render this inequality considered. Because this statement is the mental skills that people always praise, value and want to have for themselves. Therefore,

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<sup>2</sup> According to Ryan, Hobbes thinks that aristocrats have no other feature rather than being declared nobleman by the ruler. Hence, what is called the "the pride of lineage" is a threat to peace. This pride made the noblemen think they had the right to demand political ascent, and caused unnecessary conflicts (Ryan, 1996, p. 217).

by being comparable, this statement appears to be against the principle of equality. At this point, the common ground of the idea of equality in *Leviathan* and that of *De Cive* is made intelligible only by the discussion of the state of nature:

Nature hath made men so equal in the faculties of the body and mind, as that, though there be found one man sometimes manifestly stronger in body or of quicker mind than another, yet when all is reckoned together the difference between man and man is not so considerable as that one man can thereupon claim to himself any benefit to which another may not pretend as well as he. For, as to the strength of body, the weakest has strength enough to kill the strongest, either by secret machination or by confederacy with others that are in the same danger with himself. (Hobbes, 1996, p. 87)

Here, it can be clearly seen to what extent equality and inequality are directly passed to Hobbes from Machiavelli. In brief, the human being is always equal in terms of having the potential to kill each other. In *De Cive*, the emergence of equality and insecurity is thus made intelligible. Hobbes states that the equality of hope in regard to achieving goals arises from the equality of talent. He directly takes over Machiavelli's idea positing that each and every human's desire to achieve everything and causing an ability to achieve this goal that is not always equivalent. The definition of hostility is similarly made by Hobbes. Because of this equality in question, if two people desire something that they cannot possess at the same time, they become enemies of each other. The idea of equality, as stated above and said to be only composed of assumptions, is about the distribution of intelligence among people. By stating "Common sense is the most fairly distributed thing in the world" Descartes implies that everyone is satisfied with their own state of mind. Like Descartes, Hobbes thinks that satisfaction is the best proof of equality. According to him, although human beings, by their nature, acknowledged that human beings are "more intelligent, more eloquent, more knowledgeable", they do not easily believe that there are many human beings as intelligent as they are. The reason for this is that they know their intelligence well whereas they know those of others less and from a distance. However, according to Hobbes, this situation is presented not as inequality of human beings, but as a proof of their equality. Because Hobbes demonstrates that everyone is satisfied with his share as the greatest proof of the equal distribution of things.

The idea of distribution, as in the principle of equality, is directly related to justice. Hobbes is known with the following quote that points to the source and necessity of justice throughout the world: "Homō hominī lupus est". That is, a statement uttered as a reference to human

nature being evil and selfish. This statement, that immediately comes to mind when Hobbes is concerned, is true but missing. Just at the beginning of *De Cive*, Hobbes uses another very important statement: “There are statements that are both true. Man is the God of man, and man is the wolf to man.” (Hobbes, 2000: p. 1). Hobbes explains that the first statement is true for the relations between citizens and the second for those between states. Here we encounter in Hobbes the following thought, which was previously described in similar terms by Aristotle: Citizens resemble God in terms of justice and solidarity being the principles of peace. However, when discussing interstate relations, Hobbes says that the situation has changed. In a Kantian expression, people destroy one another’s good sides. According to Hobbes, the wickedness of the wicked forces the good people to be brutal and imposter, in other words, to have the “hunting spirit of wild animals”. In *Leviathan*, Hobbes speaks of perpetual fear and danger of death, which is worse than anything in the state of nature. However, no one can blame the human nature for this, he adds. Because one’s wishes and emotions cannot be considered as a sin in itself. Until they learn the existence of a law prohibiting them, actions resulting from these emotions cannot be considered as a sin. Because it is not possible to know them until such laws are made: “To this war of every man against every man this also is consequent, that nothing can be unjust. The notions of right and wrong, justice and injustice, have there no place. Where there is no common power, there is no law; where no law, no injustice. (Hobbes, 1996, p. 90)<sup>3</sup>

Hobbes’s concept of rights derives from the concept of the natural mind, which is defined here as a force. Hobbes’s concept of rights essentially refers to “the freedom of man to use all his natural abilities in accordance with the natural mind”. The first foundation of natural rights is self-preservation which is the most expected one forming the compulsory connection with life. The tools to be used for this are highly subjective. Using this meditation, Hobbes intersects with Kant’s categorical imperative: Everyone is his own judge. Based on these views of Hobbes, it cannot be concluded that everyone is granted a right to everything. In order to clarify this, it is necessary to focus on Hobbes’s views on justice. Doing whatever one wants and making arbitrary disposition about someone else is only possible in the state of nature, which is the only criterion of rights.

3 For Zagorin Hobbes’ idea of natural right finds its basis on a descriptive form: “The truth, on the contrary, appears to be that his treatment of the desire for self-preservation and peaceful living in which natural right originates is at once both descriptive and normative. His conception of the right of nature forms the point in his philosophy where he attempts to unite fact with norm and is with ought. It is never less than a moral principle, since he identified it with the drive for self-preservation and consistently affirmed that anything men do in pursuit of their urge to live they do with right. Beyond that, it remains the source of obligation and sole justification of the commonwealth, because the only reason men can have for consenting to submit to sovereign power is to secure or realize their natural right (Zagorin, 1990: s.333).

In Hobbes, although most people have a bad character, which tends to secure their own interests in vile manners or by trickery, it is accepted that they are wise enough to make a choice between right and wrong in case of wealth. The mind is defined by Hobbes as the criterion of truth. In addition to this ability, Hobbes points out that the use of language is important: According to Hobbes, war is only possible by rendering the will to battle by force known with words and actions in a clear way. Therefore, man can be defined as a “contracting entity”.

Hobbes associates the second law of nature, which follows the principle of self-preservation, with the contract. In Hobbes, man is first a natural entity, and then a contracting entity. The reason that animals cannot be contracted or granted rights is that they do not have skills regarding language and comprehension. When analyzed in the context of the conception of the contract, human beings, as we know from many philosophers, as well as Hobbes, are placed somewhere between God and animal. Because man can contract with neither God nor animals. No human being can make any contract with God, except that God appoints proxy through the holy books. The fact that the animal is unable to contract with human beings, according to Hobbes, is because it cannot comprehend the meaning of the contract. It can be argued that man is in the same situation before God: Man cannot grasp the meaning of his contract with God. A derived law of nature, the commandment of “keeping one’s promise” is based on the argument suggesting that it is unreasonable to annihilate something knowing its meaning. The person who is obliged to undertake the contract can be said to be the person who has understood the meaning of the law enough to know that he is obliged to keep his promise. Since the meaning of a possible contract with God will never be fully grasped, there will be no obligation for a man to keep his promise to God.

The primary function of the law of nature in Hobbes’s works is to put forward the necessity of adherence to the contract as a deduction. Accordingly, in the Principles of the Law of Nature, Hobbes defines the law of nature as the absolute mind. In *De Cive*, this definition becomes the imperative of the mind in a more moderate way. In *Leviathan*, the definition is even more complicated; however, it took its most reasonable form. This obligation of obeying the law in Hobbes is also the origin of the state whose aim is to provide security. Through the law of nature, man is told what he must do to protect his life and what he should avoid in terms of not putting his life in jeopardy. However, these laws do not have any

metaphysical or theological references.<sup>4</sup> The law, even though it does not carry a divine tone, is presented as a natural declaration at which people are oriented with a voluntary will; a voluntary orientation in the name of self-preservation. Here, the relationship between the natural and what is voluntary is remarkable. The voluntary obligation to obey the law appears to be guaranteed by some kind of natural obligation. Hobbes provides an explanation for the nature of civil society, which is based on human will just like the contract, unlike Aristotle who used natural terms for this definition. However, the claim that the political obligation is a modern issue does not mean that it has no role in Aristotle:

There is reason to believe that many of the objections raised to the idea that Aristotle has a theory of political authority and obligation have something to do with the assumption that political obligation has played a central role in modern political thought, that it is mainly a modern (at best, a late medieval) notion, and that, therefore, it has no place in Aristotle's political philosophy. But a main concern of this book has been to argue that some uncontested and sweeping assumptions shared by many historians of moral, political, and legal philosophy have led to not a few misunderstandings in the field, the non-existence of political obligation in Aristotle being one of them ... This type of misunderstanding is bound to happen when the history of political thought is approached without appropriate caution in terms of the opposition classical/modern. The model approach casts the net too widely as it interprets premodern visions of politics as negative images of what appear to be distinctively modern views. So, for instance, the standard opposition between Hobbes and Aristotle on the character and

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<sup>4</sup> Copleston states that the law of nature is a command of selfish foresight for Hobbes. The laws of nature provide the conditions for reasonable self-preservation. Self-preservation leads human to even engage in the formation of states. Laws provide the conditions for the formation of the society and the state: "It follows that these laws are analogous to the physical laws of nature and state the way in which enlightened egoists do in fact behave, the way in which their psychological make-up determines them to behave. Certainly, Hobbes frequently speaks as though these rules were teleological principles, and as though they were what Kant would call hypothetical imperatives; that is, assertoric hypothetical imperatives, since every individual necessarily seeks his own preservation and security. Indeed, with the interplay of motions and forces which lead to the creation of that artificial body, the commonwealth; and the tendency of his thought is to assimilate the operation of the 'laws of nature' to the operation of efficient causality. The State itself is the resultant of the interplay of forces; and human reason, displayed in the conduct expressed by these rules, is one of these determining forces. Or, if we wish to look at the matter from the point of view of the philosophical deduction of society and government, the laws of nature can be said to represent axioms or postulates which render this deduction possible. They answer the question, what are the conditions under which the transition from the natural state of war to the state of men living in organized societies becomes intelligible. And these conditions are rooted in the dynamics of human nature itself. They are not a system of Godgiven laws (except, indeed, in the sense that God created man and all that is in him). Nor do they state absolute values; for, according to Hobbes, there are no absolute values. Hobbes could hardly avoid speaking in this way. But he is dealing (Copleston, 1994, pp. 35-36).

justification of the state is a stereotype which tells us more about the time in which the interpretation is put forward than about the philosophical texts themselves ... Thus this antithesis between modern and classical political philosophy, between Hobbes and Aristotle, is often the result of the self-understanding of modern political philosophy itself, deeply affected in turn by Hobbes's own self-understanding as the champion of an entirely new way of doing political theory, rather than the upshot of a careful consideration of the texts. Just as in the case of the ethical differences between Aristotle and Kant, the point is not that there are no political differences between Aristotle and Hobbes but that the line should be drawn elsewhere (Rosler, 2005, p. 260).

## DIVINE RETRIBUTION

Hobbes's *Leviathan* is not about the idea of obligation, but about the form of consent for it is not a question of simple consent. The meaning of promises includes consent, as well as exceeding it. Right at the beginning of *Leviathan*, he depicts the creation of "the great dragon called the state" (*Civitas* in Latin). In this discourse, the state is designed to protect and defend the natural humankind. Sovereignty is the soul that gives movement and vitality to the whole body. Hobbes mentions jurists, justice, laws and wealth as parts of the mechanism in this narrative of foundation. In conclusion, he mentions the contracts and covenants that establish, combine and unite this political entity in the first place. Here, Hobbes touches on perhaps one of the most interesting and important parts of his theory.

Hobbes compares contracts and covenants to God's commandment of "creating man". In fact, what is meant is that the contract or the contracting person is the image of God in this world. This is not about deifying people. The contract essentially humanizes God. According to Hobbes, God is an eternal idea that arises out of curiosity and the will to know. It is not possible to conduct a deep investigation of natural causes without turning to the belief that there is an eternal God. However, man can never possess the idea of God, in compliance with his nature. Hobbes has a profound Machiavellian influence on the role of such a God-based religion in terms of providing obedience. Religion has a great influence on providing obedience of people to the state. To convince people that laws are divine is more effective than to know that they are man-made and alterable. Thus, in Hobbes, it can be said that religion is a state tool facilitating the work of the sovereign.

From this point on, the view that Kant attributes a political understanding based on religion to Hobbes becomes controversial. Hobbes mentions the fundamental aims of the founders of religion. Accordingly, the first founders

and legislators of Pagan states whose only purpose was to keep the people in obedience and peace first sought to establish a belief everywhere that the laws of religion stemmed from God's commandment, not from their inventions. What gives them the power of practice is statements suggesting that they have such power over others. Thus, the laws are aimed to be adopted more easily. In Hobbes, the state is the mortal God to whom peace and defence are owed. This God cannot come into the world by any other means than the contract. The role of the contract in the birth of mortal God is as follows:

The only way to erect such a Common Power, as may be able to defend them from the invasion of Forraigners, and the injuries of one another, and thereby to secure them in such sort, as that by their owne industrie, and by the fruites of the Earth, they may nourish themselves and live contentedly; is, to conferre all their power and strength upon one Man, or upon one Assembly of men, that may reduce all their Wills, by plurality of voices, unto one Will: which is as much as to say, to appoint one man, or Assembly of men, to beare their Person; and every one to owne, and acknowledge himselfe to be Author of whatsoever he that so beareth their Person, shall Act, or cause to be Acted, in those things which concerne the Common Peace and Safetie; and therein to submit their Wills, everyone to his Will, and their Judgements, to his Judgment. (Hobbes, 1996, p. 120)

## **EQUALITY BY CONTRACT**

In the well-known Hobbesian expression, everyone surrenders to everyone on one condition. This condition is that everyone truly unites in the same persona, provided that everyone leaves his right to the sovereign and authorizes it in all his actions. When this is performed, the transition from the scattered group of isolated people spending their short lives in warfare, to the tone, that is the state which is essential to peace and security occurs. Thus, it can be said that the transition from the actual state to the tone is the manifestation of many in one. In *Leviathan*, Hobbes asks: "How this many people become one?" This many people become one when each of them is represented by a sole human being with "consent beyond the consent". Because, according to Hobbes, it is not the unity of those who are represented, but the unity of those who represent it that renders the persona one. Otherwise, unity within the masses cannot be understood. (Hobbes, 1993: p. 128). The formation of the state, to be understood in this way, signifies surrender to a representative representing the persona of everyone in the name of security. This voluntary attitude is the origin of civil society and the state. This togetherness cannot be understood without a voluntary decision of participation. It is appropriate to say that this voluntary attitude

derives from the experience of the state of nature.<sup>5</sup> In such a political theory, this experience can be obtained by experiencing it or by the transfer of historical memory. In order to seek security, there is no need for a perpetual danger surrounding us. One can imagine the dangers that can arise when one is not safe. Therefore, the debate on whether the state of nature is a historical experience or fiction is meaningless. In addition to the statements above, Ashcraft explains that our expectations about the future and the present time depend on what the past is, what power generates, and what it causes. According to him, Hobbes does not only bridge the philosophy and history underlying the causal analysis of human activity. He also emphasizes the reasons that connect the past and the future.<sup>6</sup> When there is not an evident force that would provide obedience to the laws of nature, the state is formed in order to end the warfare that is a compulsory result of man's natural emotions both as a necessity and as a precautionary measure. This security cannot be provided in the state of nature. Therefore, Hobbes finds it inappropriate to call the imperatives of the mind as laws. These are at the most deductions and theorems that will help people to protect and defend themselves. The law is the statement of the person who legitimately has the authority to command over others. Theorems and deductions can only be called law if it is thought to be communicated in the form of statements from God, who has the authority to command over everything. In brief, the person whose statement is the law is the sovereign. The absence of sovereigns is not only the absence of law but also the absence of power, a way of ensuring obedience.

According to Hobbes, everyone has a legitimate right to be protected from all the others. The *raison d'être* of sovereigns is to eliminate the warfare in question. In other words, the sovereign is not only the unconditional ruler of citizens. He is also responsible for them. In this respect, Hobbes's

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5 In his work titled *Ideology and Class in Hobbes' Political Theory*, Richard Ashcraft explains as follows that the civil society has emerged as a result of an experience: "Civil society is composed of and through the voluntary actions of men, which constitute the basic data of political experience. When Hobbes appeals in his political philosophy to "a principle by experience known to all men, and denied by none" he means that if we have come to the causes of the voluntary actions of men in making the commonwealth, we can proceed no further.<sup>62</sup> Whatever the general epistemological difficulties of understanding how individuals, considered atomistically, can ever be said to have the same "experience" which, formulated as a principle could be universally known or assented to, there was, Hobbes believed, such an experiential foundation upon which to build his political argument" (Ashcraft, 1978, p. 36).

6 Prudence is the knowledge of events and affairs that comes from wide experience and reflection and from recapitulating the experience and reflection of others as recorded in history. Prudence is essentially experiential; its method is historical - whether it is a matter of retrospective reflection upon our own experience or upon that of mankind in general and its object is sound judgment in particular cases. The best evidence of prudence is continual good judgment. Prudence is a genuine form of knowledge, yet it is always knowledge of particulars; it is a knowledge of how things have worked out in the past and what has happened, not of how they must work out nor of what must happen. (Ryan, 1996, p. 212)

political philosophy includes many ideas about duty and what man should do in terms of both citizens and the sovereign, that is the necessary form of action. All-natural laws are compulsory expressions and evaluative suggestions and imply responsibility almost everywhere. In *Leviathan*, the debate on the responsibility of the sovereign is largely related to the duty of the sovereign to his people. Kant's interpretation of Hobbes includes an objection suggesting that the sovereign does not have any responsibility to his people. In an article titled "On the Common Saying: That May Be True in Theory, but It Is of No Use in Practice", Kant writes a chapter dedicated to Hobbes. Here, he states that the principle of happiness, despite all the goodwill (*bona fides*) of its advocates, has bad consequences in the field of state law as well as in the field of ethics. Accordingly, the sovereign wants to render his people happy in line with his own mentality; thereby become a despot; on the other hand, the people do not give up "the universal human desire" in order to achieve their own happiness; thereby become rebellious. Kant describes the relationship of "pressure" between the sovereign and the citizen as follows:

And it would then be seen that, until the general will is there, the people has no coercive right against its ruler, since it can apply coercion legally only through him. But if the will is there, no force can be applied to the ruler by the people, otherwise the people would be the supreme ruler. Thus the people can never possess a right of coercion against the head of state, or be entitled to oppose him in word or deed ... While I trust that no-one will accuse me of flattering monarchs too much by declaring them inviolable, I likewise hope that I shall be spared the reproach of claiming too much for the people if I maintain that the people too have inalienable rights against the head of state, even if these cannot be rights of coercion ... Hobbes is of the opposite opinion. According to him (*De Cive*, Chap. 7§14), the head of state has no contractual obligations towards the people; he can do no injustice to a citizen, but may act towards him as he pleases. This proposition would be perfectly correct if injustice were taken to mean any injury which gave the injured party a coercive right against the one who has done him injustice. But in its general form, the proposition is quite terrifying. (Kant, 1970, pp. 83-84).

It should be stated that Kant's interpretation of Hobbes has prejudices at two points. The first one is about the responsibility of the sovereign to his people and inalienable rights of citizens. The *raison d'être* of sovereigns is to protect the right to life of his people, which is an inalienable right. In Hobbes, the sovereign is responsible to those he rules over even if that is not the case in any other issues. Only the responsibility of the sovereign and the responsibility of his people carry different meanings. The sovereign does not have the obligation to contract due to the origin of the contract. However, that does not necessarily mean that he is not responsible at all.

The sovereign is united with the will of society in the name of the principle of maintaining his existence ensuring the unity of society. According to Hobbes, it is the state guarantee that renders a resolution claiming to be normative a law. In other words, according to Hobbes, it is under the authority of the sovereign, that is, the authority of the state, to declare what constitutes justice, equity, and moral virtue for individuals as well as making them binding. The law of nature and social laws are not from different types. According to Hobbes, both imply what should be. Only their degrees of legality is different. The distinction between written and divine law in ancient Greece is also observed in Hobbes's political philosophy. In Hobbes, what is written is called societal laws whereas what is not written called the law of nature or natural laws. In this context, Hobbes divides all the law into two divisions, one being divine and one being man-made. Then, divine law is divided into positive natural law and natural (moral) law, according to God's way of communicating His will to people. In other words, Hobbes also calls the moral and natural law as divine law. He reiterates in *De Cive* these views that he put forward in *Leviathan*. In the fourth chapter of his book, he writes the following on natural laws being divine laws: "The same Law which is Naturall, and Morall, is also wont to be called Divine, nor undeservedly, as well because Reason, which is the law of Nature, is given by God to every man for the rule of his actions; as because the precepts of living which are thence derived, are the same with those which have been delivered from the divine Majesty, for the LAWES of his heavenly Kingdome, by our Lord Jesus Christ, and his holy Prophets and Apostles. What therefore by reasoning, we have understood above concerning the law of nature, we will endeavour to confirm the same in this Chapter by holy writ"(Hobbes, 1987, pp. 76-77). This Divine position attributed to the natural law is not superior before the positive law. It needs the state in order to achieve the status of legality. Therefore, the legalization of what should be is possible owing to the state, that is its will, as well as the contract provided by a certain number of people and a single person, regarded as everyone's will, who would use their powers and resources for common peace and defence. The legalization process of what should be is the process of human masses transforming into a people or human society. The most important problem during this process is what the liberties of people having delegated their authority signify. In other words, this problem is the problem regarding the relationship between the sovereign and citizens. In this context, in his work titled *Hobbesian Public Reason*, Ridge states that it is an obligation for the sovereign to communicate with his citizens. The logic of the sovereign should be

parallel to that of his citizens because people do not obey commands that they are not convinced<sup>7</sup>, according to Hobbes:

“(T)hey appeal from custom to reason, and from reason to custom, as it serves their turn ; receding from custom when their interest requires it, and setting themselves against reason, as oft as reason is against them: which is the cause, that the doctrine of right and wrong, is perpetually disputed, both by the pen and the sword: whereas the doctrine of lines, and figures, is not so; because men care not, in that subject, what be truth, as a thing that crosses no man’s ambition, profit or lust. For I doubt not, but if it had been a thing contrary to any man’s right of dominion, or to the interest of men that have dominion, that the three angles of a triangle, should be equal to two angles of a square; that doctrine should have been, if not disputed, yet by the burning of all books of geometry, suppressed, as far as he whom it concerned was able” (Hobbes, 1996, pp. 73-74).

## CONCLUSION

In summary, when Hobbes mentions equality and the value of humankind, the value is not on people themselves, but on those perceiving it. The value which people grant or do not grant to one another is called commendation or contempt. According to Hobbes, definitions of what is fair and unfair carry different meanings when they are attributed to people and actions. Fairness in people means that their behaviours are rational. According to Hobbes, a fair person is the person doing his best for his actions to be completely fair, and honesty and justice are one and the same for people. An honest person does not lose this attribute because of one or more unjust actions resulting from a sudden feeling or a mistake regarding objects or people. Thus, Hobbes, just as in Aristotle, thinks that justice is at the arithmetic rate in terms of exchange and at the geometric rate in terms of distribution. Thus, Hobbes links justice to equality in the value of what is contracted for them in terms of exchange. Hobbes believes that justice is the justice of the contracting party in terms of exchange. In other words, justice is the expression of agreement in purchasing and selling, renting and leasing, lending and borrowing, and other contracts

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7 The Hobbesian begins by arguing that certain features of the state of nature would make conflict inevitable. As long as everyone continues to rely on their natural reason, this conflict will continue; natural reason is simply incapable on its own of resolving most of these conflicts. The Hobbesian suggests that we allow our natural reason to be supplanted (at least on some questions) by the reason of some public person who we authorize as such. The Hobbesian faces a dilemma. Either the public person’s authority is limited or it is not. If it is not, then, in Gauthier’s terms, we run an unacceptable risk of “creating a monster”; the risks of giving one person (or body), who is, after all, still simply operating with her own natural reason however much we pretend otherwise, seem to be too great, so that authorizing such a public person would not be rational. (Ridge, 1998, p. 559)

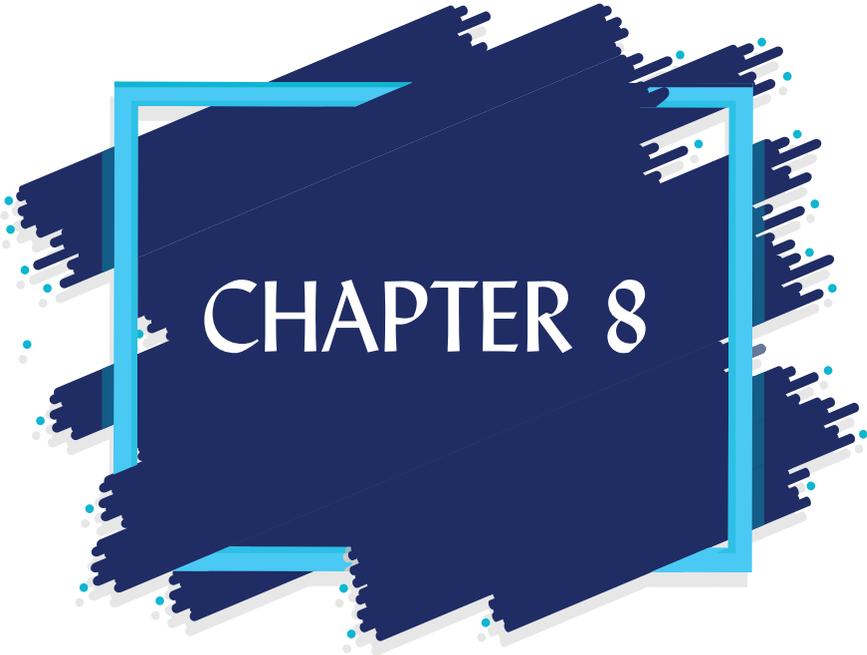
in terms of exchange. In terms of distribution, justice is, according to Hobbes refers to the justice of an arbitrator. This arbitrator determines what is fair or unfair. If the person appointed by trustees acts in line with this trust, he grants everyone his own right. This is what Hobbes called fair distribution and justice in terms of distribution. Hobbes, however, posits that it is appropriate to call justice equity, which is a law of nature in its right sense in terms of distribution. Without the equity of the arbitrator, disputes between people turn into war. According to Hobbes, equity is to distribute everyone what belongs to them, based on reason. This definition of equity that we encounter in *Leviathan* is re-questioned in *De Cive* and it is reiterated that the collective ownership causes warfare. From these views, Hobbes reaches two definite postulates on human nature. The first is that everyone wants to use collective ownership by themselves. The other one is about the natural mind, which leads all the humankind to avoid death, the greatest evil in nature. Nevertheless, Hobbes insists that by looking at these previously mentioned features of human nature, it cannot be regarded as evil. Because even in such a situation, the ability to decide between good and bad has been delegated to the sovereign. According to Hobbes, the beginning of ownership is only the duty of the sovereign, since it is a result of the state that can only perform actions by the person representing it. It should be noted, however, that the discussion of ownership in *Leviathan* also includes the idea that the ownership of citizenship excludes the domination of another, not that of the sovereign. Terms defining economic relations such as fair distribution and equity are included in Hobbes's views within the authority and responsibility of the sovereign. Hobbes defines human labour as a commodity and links the security of both private ownership and labour to the sovereign. His following views are mostly on the economic value study that has been overlooked. He compares money to the blood circulation feeding every part of the society as well as every organ of the human body in an endless circle. His views on this issue are like a summary of the material value study within the context of the line from Aristotle to Locke.

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# ROTATION AND REORIENTATION IN THE EFFECTIVE USE OF HUMAN RESOURCES

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## CHAPTER 8

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## ROTATION AND REORIENTATION IN THE EFFECTIVE USE OF HUMAN RESOURCES

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The social life of the 21<sup>st</sup> century witnesses rapid changes in economy, culture, politics and technology. These fast-paced changes affect the lives of organizations and individuals and put them in a position, where they constantly have to improve themselves. Said case is reflected onto the business world as well. The necessity for enterprises to coexist with their competitors and gain the competitive edge highlight the growing importance of human resources management and human resource itself. Human resources can think, organize and manage for the survival of enterprises and thus, can dominate everything. Therefore, firms that wish to persist their existence in the fiercely competitive environments aim to enhance the needed experiences of their staff members with regards to knowledge and skills through training programs that support constant development and education. The underlying reason is the fact that institutions that do not show the needed sensitivity towards education cannot subsist for long in the rapidly changing society of information and technology. Firms can succeed by deploying the right human resources to respond to their needs at the right time and in the right place. To maintain, firms have to retain qualified human resources and develop mechanisms accordingly. Rotation and Reorientation, from amongst these mechanisms, are significant practices in effectively using Human Resources. An examination of the relevant studies shows that human resources specifically plays key role in increasing the competitive power of global firms. According to literature, business rotation and reorientation, adopted in the field of human resources by corporate enterprises or firms that keep up with the current times, for employees and firms provide benefits and gains for both the firms and the employees, for the application is directly related to the appropriate usage of workforce.

### INTRODUCTION

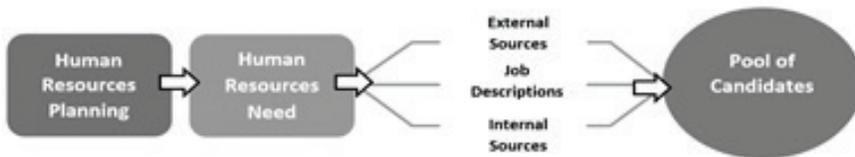
Today, firms organize matters related to human resources, in order to fulfill their designated goals and objectives and as a result, aim to acquire maximum earnings from their employees by enhancing their motivation, skills, information and productivity in the work environment. Identifying points such as which problem the education, training and development applications at the firm is to solve from the perspectives of both the employees and the firm, to whom will they be provided and whether or not

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employees will be prioritized and whether or not they will aim to increase the level of knowledge or enhance skills, are counted among strategic and purposeful activities. Once these activities are determined, other short-term, mid-term and even long-term plans will be guided and affected. Identifying the topics for education, training and development applications must be shaped in line with employees' needs. Practices that are not needed by employees or are conducted with some wrongful methods would have a negative influence on employees' attitudes towards education, training and development programs.

While firms set up their business teams, they often seek to acquire optimum success by taking advantage of professional teams. Said professional teams are established by procuring human resources in the beginning, as can be seen in Figure 1.



**Figure 1.** *The process of human resources procurement* (Can et al., 2009)

The suitability of the selected staff member for the job and the workplace are just as important as finding the right person for the requirements of the job, as the pool of candidates is constructed, for it influences the efficiency of other processes too. Ensuring person-organization fit at the stage of selection and placement can later be operationalized in different ways; i.e. compliance of value between the employee and the firm, compliance of goals, compliance of personality, compliance of organizational identity and employee's wishes and preferences and compliance of organizational system and structure (Ergün and Taşgıt, 2011).

## **EDUCATION, TRAINING AND DEVELOPMENT**

### **METHODS**

There are many methods to boost the performance of professional teams, which are established with the employees within the organization, to make sure that they effectively gain knowledge and work experience and are educated, trained and developed. These methods are determined according to certain factors. Factors such as the correct identification of needs, the level of work experience of the participating employee, number

of participants, time and training instructor are quite significant in the efficiency and success of education, training and development activities.

Training demands, requested from various department of the firm, as well as the needs, the employees that are supposed to participate in the training at the time and the prioritization of employees are determined over criteria such as age, level of education, professional experience, level of knowledge and promotion skills (Sabuncuoğlu, 2011). Educational activities in firms with high corporate gains are orchestrated by educational departments of the firm. Such endeavors are carried out by the department of human resources in firms, where no such departments exist. Moreover, a consultancy company, other than the firm itself, and a committee, consisting of upper management and educational departments can carry out educational activities (Kılıç, 2013). Training programs to be set up must be at a level to respond to employee needs. To that end, matters that are most needed in the professional lives of the employees have to be prioritized. The selection of instructors is also important for the firm to fulfill its objectives and ensure the desired productivity. If it is to be provided from within the firm, a thorough search must be conducted to ensure experienced and knowledgeable persons are selected. Education, training and development applications can be provided on-the-job within the firm, as they can be organized in collaboration with consultancy companies. Support can also be sought from successful and experienced businesspeople or academicians outside of the firm.

There are also different opinions, claiming that education, training and development applications cost the firm. One of the topics that requires attention at the stage of preparing the annual schedule is to designate the timeline. Applications must be kept as brief as possible for the productivity of the firm. Plans to keep employees away from his/her job for a long time and hinder his/her professional life must be avoided (Sabuncuoğlu, 2011). Tools to be used must be chosen carefully for the efficiency of in-service and external education, training and development activities and instead of using a single type of tool, various economic, necessary and proper tools to ensure change shall be utilized (Kılıç, 2013).

### **Training Programs**

Training programs for the socialization of the newcomers is a socializing strategy (Balcı, 2003). Many firms prepare training programs in the onboarding phase. These socialization programs are necessary for the new recruits to succeed, while they also enhance the employee's feeling of adequacy. At some jobs, newcomers are subjected to weeks, even months of training programs (Gao, 2011). According to Chao et

al. (1994), on the other hand, matters related to job performance such as onboarding programs, previous experiences and educational status are not directly linked with person-organization fit; still, the compliance process will be affected by the identification of which knowledge, skill and talent is to be learned. Person-organization fit used to be interpreted unilaterally from the perspective of the firm in the past, regarding the technical aspects of the job and the firm's norms for newcomers first. From the employee perspective, on the other hand, the firm's efforts to influence compliance outputs and the newcomer's efforts to ensure compliance are evaluated together (Griffin et al., 2000).

### **Training and development events**

Activities such as compliance events and department meetings can be organized to gain the values the firm requires within the workplace (Balci, 2003). Some of these can be compliance or decision meetings, as a result of newcomers' attendance to professional groups that work together within the organization. There are some strategies to change of person-organization fit, in other words, to leave old attitudes, values and behaviors and earn new ones, and to render the firm's objectives more effective, including learning the necessary tools, functional responsibilities, organizational norms and values (Can, 2005).

These strategies are as follows:

- First of all, ensuring that the task is an important one,
- Since the need for training does not only arise at the point of onboarding; using them, when the employee is assigned new duties and responsibilities,
- Having a review system for employees, based on success standards and criteria regarding job performance,
- Having guides or mentors, responsible from the employee's compliance.

Supervisors, training newcomers concerning the characteristics of the job within the organization or the employees, carrying out need analyses, would facilitate person-job-organization fit. It is important to assign tasks to newcomers that will make them feel important, in order to motivate them, develop them and having them remain at the firm. Supervisors also ensure the establishment of a more satisfactory working system within the group and avoidance of conflicts (Tak et al., 2009).

## **Induction method (Orientation)**

The rapid changes in areas of production and service today highlight the necessity for firms to invest in education, knowledge provision and development.

One of the in-service training applications, orientation is the very first education, training and development application program, provided to employees at workplaces. From this perspective, orientation carries importance with respect to increasing productivity for both employees and firms (Keser, 1999). Orientation also aims to eliminate potential problems, which may arise in future and cause loss of time, by explaining relevant responsibilities to the employee. Orientation applications, as per their scope, provide general information such as working hours, break times, lunch time, rest areas and upper management, which the employee must be aware of, as well as introducing the business setting and designating the employee's working space and informing the employee about the firm's working rules and culture (Özer, 2004).

## **Rotation (Switching) Method**

Dating back a long time with its applications, rotation has become a popular management strategy today (Kılıç, 2008; Özçelik, 2008). Rotation, by definition, refers to the change of employees' duties, positions and ranks within a given plan and program. Employees, who take place in various stages of a job, know the job fully and from all perspectives; therefore, they grasp the job's place and importance within the firm. From another point of view, rotation is crucial in employees' training, development and moving on to a professional phase (Dinler, 2008). Rotation also means cross training. Employees are assigned to different duties, requiring interest, talent, responsibility or awareness, in given intervals of time. Thus, the employee would be able to acquire a holistic point of view towards the firm by understanding the way and stages of different jobs.

In other words, rotation could mean the systematic switch from one job to another job, task, position or rank. Rotation increases the number of jobs employees can perform and manage, while rendering the jobs interesting, and hence non-monotonous. However, this application may also turn into a cycle that repeats itself. Therefore, it shall be analyzed time and again, in line with feedbacks, and a rotation application shall be developed accordingly (Aydoğan, 2014).

There are differing opinions, positing the advantages and disadvantages of rotation. Advocates of the application claim that it

will allow employees' experience to spread throughout the industry and when an employee is engaged with a new rank, a new position or a new task, s/he will show more effort to perform better to prove him/herself. They also list other views such as the elimination of demotivation, which may arise over time by working at the same firm or doing the same job constantly, as well as removing drawbacks such as hopelessness and frustration. Furthermore, rotation applications would remove the weariness and unwillingness that arise from doing the same job every day, thanks to the work environment it offers. In cases, where amelioration of working conditions and higher salaries do not suffice, rotation is the most efficient method of solution for the staff. On the other hand, in certain cases, employees within the rotation application are asked to perform other tasks, which may decrease productivity sometimes (Kakırman, 2012).

In addition to the opinions that claim that rotation in firms is beneficial, there are those that think it brings along disadvantages too. Accordingly, rotation applications of the firm may prevent new ideas to come to the firm, while the employee, who is brought to a different position within the scope of rotation, may not possess the qualities, needed for said position. This would, in turn, affect the quality of business at the firm. Moreover, the opposing views claim that rotation represents an obstacle in vital matters such as corporate accumulation and development, establishment of corporate identity and adoption of corporate duties and liberality (Kılıç, 2008).

After the main goals that are desired to be acquired through rotation are identified and a need analysis for training according to the employees is carried out, individual rotation programs are prepared in the next stage, where tasks within the rotation are determined, as well as areas of improvement for employees. Preparation of individual rotation programs specifically brings along a completely logistical planning. Including one person in the rotation means that another person has to fill his/her position and the employee at the new task is going to be rotated at another position. Generally accepted cases regarding the process of rotation itself are covered herein. Every institution may apply rotation in different ways. In order for business rotations to yield benefits and to acquire expected and desired outcomes, employees that participate in the rotation program have to be willing and eager about it. Many employees wish to carry out multiple jobs, instead of specializing in a single one.

Apart from these, a number of employees may wish to put in a position they desire or department managers may only wish to work with persons of choice; in order to prevent nepotism at this point, the selection of employees

have to be related to procedures and performance outcomes. Another fundamental aspect is to seek employee wills. Motivating employees for their new jobs and encouraging them to work are concepts with rather complicated qualities. In this context, employee needs must be known and their willingness for new positions have to be ensured (Aydoğan, 2006).

Furthermore, staff information systems, records and performance review results help to find persons with sought qualities. In order for a rotation program to succeed, such decision criteria must be rigorously examined (Şermet, 2009; Sabuncuoğlu, 2011; Özdemir, 2010). These criteria are as follows;

- **Ideas, Opinions and Impressions about the Person:** Before the final decision about which employees are going to be included within the rotation is made, a set of criteria is taken into account by the person or persons, who make that decision. One of them is considered under verbal criteria and consists of interview results, employee resume and the ideas, opinions and impressions the supervisors have of the person. Free will and personal opinions of those, who are to make the decision, influence the reviewing of verbal criteria. Once the documents are evaluated and opinions are discussed, committee members talk amongst themselves and reach a conclusion. Finally, whether the person in question is suitable for rotation or not can be determined to an extent.
- **Knowledge, Skills and Competence:** The employee to be selected is subjected to an evaluation to determine whether s/he possesses the required qualities for the department in question. This criteria includes the level of foreign language skills, computer operations, programming, analytical skills, statistical analysis and all similar general and technical skills and competences. The skills group here consists of the headlines in hiring criteria and performance reviews. Reevaluating employees under the changing conditions of the firm and according to business structures and planning rotations and careers with these factors in mind increase the efficiency of the decision.
- **Duration of Employment:** This item shows the duration, for which the employee has been working for the firm. This data also indicates details about the person and his/her position, whether or not s/he learned the skills adequately, acquired fairly good experience and where s/he is placed on the productivity curve. If an employee reaches a saturation point at his/her job and the job is

now at the level of monotony, productivity and performance curves may start declining.

- **Seniority:** This criterion reveals the period of time, for which an employee has been employed at the firm. For an employee with more seniority, but no potential for promotion, a rotation decision is viewed to be a good opportunity to increase the employee's job satisfaction, motivate him/her and reinforce organizational commitment.
- **Age:** The age of employees is also considered to be an indicator of the amount of time they spent in professional life. Research shows that an employee's older age reveals that this person spent more time in work life and can display more realistic behaviors in the face of complex and unexpected events. Age is also accepted to be an indicator of positive/negative approach towards the rotation decision.
- **Behavior:** This criterion measures and sets forth the social behaviors of the employee: How does the employee integrate with the new department and how long does it take; how does the employee perform in teamwork and what kind of relations does the employee build with teammates? Such matters are evaluated by the rotation committee over a numeric scale.
- **Personal Characteristics:** This criterion includes individual characteristics such as time management, orderliness and self-esteem. Individual characteristics of employees influence their ways of fulfilling tasks, job performances and relationships with colleagues and managers.
- **Willingness:** Employees' willingness about rotation is one of the key factors that ensure the flawless operation of the rotation process. It is especially observed in some employees that they fix themselves to a single job and remain dependent on it without showing any effort for personal development. These employees, who are against change, have a biased perspective towards rotation, which shows their lack of willingness for rotation. Trainings to be provided may be a remedy for these employees, for they often steer clear from rotation due to lack of information about the application or refrain from it. On the other hand, the employee may not favor new working conditions, brought along by the new position, even if s/he displays willingness. For example, changing the workplace or switching to a different subsidiary within the conglomerate may

cause hesitations in terms of rotation for even the most enthusiastic of employees.

- **Being Ready:** An employee may be eager to take on another position, but may not be ready due to internal and external conditions of the enterprise. For example, factors such as having family or health issues would affect the employee's switching to another job with rotation and his/her concentration on it. All these details are examined and evaluated by the rotation committee.
- **Adaptation:** How quickly an employee could adapt to a new job is also another important criterion in taking the decision for rotation. The abovementioned external and internal business factors carry importance with respect to the speed of adaptation of the employee.

Rotation programs under Education, Training and Development Applications are among staff policies that have been applied across the world for a long time. Research studies show that approximately 80% of the firms around the world adopt this method.

### **Differences between Rotation and Orientation**

Rotation refers to the horizontal or vertical mobility of the employees within the institution. These horizontal and vertical movements are carried out with plans and programs in Rotation, whereas deviations from designated plans can be observed in Orientation, which represents the difference between Rotation and Orientation. From this perspective, Rotation is somewhat like the concept of Orientation; however, it is different in the sense that employees can move between different departments and different countries and promotions and transfers are constantly made in vertical movements too (Güleç, 2009). This application comprises an important part of Human Resources policies of many firms. Moreover, Rotation applications, which are similar to Orientation applications, offer benefits in terms of training managers. Corporate enterprises always deem it necessary for future managers of the upper levels to work at certain different departments and units. Thus, the staff seizes the opportunity to see how these departments function first hand (Ay, 2005). In a study by Capital Online Magazine, it is observed that some large, global firms employ various Rotation applications. Employees at a worldwide tobacco firm can take on roles at different offices of the firm. Such assignment can be domestic or international, depending on the person's own development plans, career goals and the firm's needs. Rotation applications in Switzerland-based Bank Europe, for example, are carried out via an evaluation among the

staff members, who possess the talent and effort requirements, needed for the designated team, department and positions (Tekinay, 2005).

### **Aimed Benefits in Rotation Applications**

There may be many goals that are wished to be obtained via rotation programs. They can be orchestrated for a particular need to be fulfilled, a gap to be filled or employees with key qualities to be educated. The goal is to provide vast professional experience to the employee (Bingöl, 2010). No matter which objectives drive Rotation, the ultimate goal is to provide comprehensive work experience to the employee. Additionally, increasing motivation, reducing employee absenteeism and boosting institutional productivity are aimed (Şermet, 2009). The goals of utilizing Rotation technique can be listed as increasing employment as the macro-goal; boosting productivity, ensuring workforce flexibility, promoting organizational learning and providing ergonomics as micro-goals; generating social communication field, eliminating monotony, revealing individual potential, ensuring motivation and job satisfaction and increasing organizational commitment as human resources management goals; career planning as the career management goal and education and training of employees and managers as educational goals (Bingöl, 2010).

### ***Increasing Product and Service Quality***

Institutions survive by increasing their product and service quality in battling competition in the industry. They need internal quality and motivation in order to avoid being beaten by external competition. One of the most important components of internal competition is rotation. Rotation generates added value for both the person and the institution. A tool for human resources management, rotation programs provide visible for institutions (Kılıç, 2008). Another significant reason in quality increase is the development of the system of suggestions, based on rotation. Recommendations, regarding the job, where employees complete their rotations, are collected. The purpose here is to be able to see all jobs from diverse perspectives, thanks to employees and to reinforce the quality of the jobs through recommendation. The employee may create added value with new forecasts, in addition to previous accumulations. Rotation within Total Quality Production, is viewed as a quality-increasing factor, for it improves effective human relations (Şermet, 2009).

### ***Boosting Productivity***

The emotional strength of employees grow with rotation programs, which drives them towards new ideas, in addition to decreasing absenteeism

rates, increasing individual motivation and performance and directly boosting productivity (Şermet, 2009).

### ***Enhancing Organizational Learning***

The persistence of an enterprise depends on continuous learning. No institution in today's rapidly changing world in the information age, could pay the cost of losing a knowledgeable employee (Barutçugil, 2004). The concept of learning organization is based on the employees, generating new information, sharing it, turning it into organizational knowledge and using it in solving issues. Organizations learn with their employees. The development of employees is reflected onto the organizations and institutions that centralize learning succeed (Kartal, 2003). However, constant rotation may have a negative influence on organizational learning (Şermet, 2009). Rotation is a good mechanism that contributes to organizational learning. Rotation allows members within the organization to see it from multiple perspectives and understand it. Acquiring various experiences, the workforce would form useful alliances and connections within the organization, thus accelerating the process of learning itself. Rotation and the experiences earned through it efficiently reveal the exchange of jobs among employees.

### ***Facilitating Compliance with Change***

Persons within Rotation programs are used to working in a new environment and with new persons; since they go through an adaptation process, they accept the changes in the organization more easily (Kerman, 2004).

### ***Decreasing Educational Costs***

A well planned rotation application decreases the educational costs of the firm. It is also utilized as an on-the-job training technique (Uyargil et al., 2009). Learning and teaching on-the-job saves time and cost to be spent on training. The employee would hence does his/her job and enhance skills (Şermet, 2009). Moreover, on-the-job trainings could be carried out with less expenses without the need for spending sums on educational materials and tools (Özçelik, 2008).

### ***Providing Workforce Flexibility***

Workforce flexibility is one of the most important advantages, brought along by rotation. Employees learn new jobs and acquire new skills with rotation, which means that whenever the organization is in need of such an

employee, it can find someone to assign to the position and earn flexibility to the workplace (Özkalp, 2007). When an employee works for long years at a firm, which places importance on employee specialization, nobody else would know about his/her job. Over time, it has been observed that this situation is problematic. Firms now need the kind of workforce that could fight against the competitive environment and could overcome all jobs, while possessing team spirit and being flexible. From the point of view of the employee, flexible workforce is seen as a solution against unemployment and workforce costs. This is how firms create flexible and adaptable workforce. Employees would have backups with rotation and managers could hence work in a more flexible manner (Kılıç, 2008). Employers also feel more comfortable and flexible in growing, downsizing and cutting costs in the face of any technological investments. In addition, rotation increases the mobility of the workforce within the firm. It facilitates the tasks of human resources in organizing, distributing work times, assigning employees to different jobs and using different competences in different situations (Uyargil et al., 2009). Protecting rotation programs in information systems helps to find and select the right person, in case of a need (Sabuncuoğlu, 2011).

### ***Establishing Backup Plans***

Rotation ensures that one task is not only fulfilled by one employee, but by multiple employees. The risk that may arise in some large projects with strategic importance, can be minimized, thanks to “versatile” members (Şermet, 2009). Those who work in rotation have backups and managers could thus work more comfortably. Rotation generates flexible workforce. In cases such as leave and absence, rotation ensures that the work is done by other employees. No employee is indispensable (Kılıç, 2008). Job rotation is the most effective way of recruiting in-house personnel (Uyargil et al., 2009).

### ***Decreasing Employee Turnover Rates***

Positive contributions of rotation on employee turnover rates are frequently mentioned in the literature. Many research studies state that employees, who seize the opportunity of being trained in many areas, would feel that they have job security and hence motivated employees would not desire to leave the firm (Kerman, 2004).

### ***Ensuring Ergonomics***

Using rotation is underlined within the scope of work health, safety and management programs, in order to fight work-related illnesses. This

way, the employee works at different jobs in different times, using different body parts, thus would be free of health issues. This technique ensures that a problem, arising from a heavy task, is not always loaded onto the same person. Rotation specifically has an important effect on decreasing work-related accidents in firms that are active in the production industry. Such business design is considered within the scope of biological approaches and highlights the employee's interaction with the physical environment. For example, muscle strength is needed to fulfill a task or heavy lifting. All these influence the productivity and motivation of the employee (Özkalp, 2007). Having the same person, whose experience, knowledge and skills are not suitable for the job, work at the same position for years would both cause work accidents and increase work stress (Şermet, 2009).

### ***Contribution of Rapid Decision Making***

Firms have to keep up with the changes in the 21st century, when technology and social lives are rapidly transforming. A firm has to be well known, in order to make quick decisions. A manager, who circulates through main departments with rotation, can make rapid decisions (Kılıç, 2008).

### ***Ensuring Organizational Justice***

If performance reviews are carried out by a single manager, it might create some issues. A staff member, who has gone through Rotation, may be evaluated by more than one person. Thus, the opportunity for an objective review arises and fair information about the employee is acquired (Şermet, 2009).

## **DISCUSSION**

Taylor's (1916) perspective of "If an employee fails, management is often to blame; we would presume that they did not teach the employee well," changed with nonclassical in-service training programs. Mintzberg (2004) mentions three approaches in in-service training programs. First generation approach is based on learning from others. Second generation approach is oriented at creating learning experiences. Finally, third generation approach is founded on employees, learning from their own experiences. Therefore, the main goal, in addition to developing knowledge and skills with in-service training applications, is to change common attitudes and behaviors of employees, in line with organizational goals. Today, in-service training applications offer various encouraging benefits such as the employee's own efforts to improve his/her knowledge and skills, other than management trainings, to compete with him/herself, establish an intellectual level and

contribute to the development of both the institution and him/herself. Moreover, it is stated that these are applications that provide a basis for human resources management, increase the employee's thoughts, talents and skills concerning his/her job and ensure occupational depth. Another benefit of in-service trainings is the opportunity of self-actualization for the employees; the positive perception of these trainings allow employees to view themselves valuable and important for the organization and enhances job satisfaction. These benefits have also been posited by research studies. For instance, it has been observed that in-service training programs have positive effects on employees' job satisfaction and work-related stress (Aliyeva 2001; Atak 2006; Bucak 2007; Khussainova, 2010).

An overall evaluation shows that during the applications, where business and education are intertwined, the employee would be able to see the big picture and not only his/her job, acknowledge the system, of which s/he is a part and be able to develop abstract thinking skills – more importantly, the employee would feel valuable.

In today's business world, trainings are not prepared and designed with narration-oriented methods only, but as learning-oriented processes, where participants are actively within the training, can learn through experience and witness learning more than merely being taught. The efficient application of in-service trainings carries utmost importance. Otherwise, the continuity of the insufficiency of possible financial sources or relevant equipment or such setbacks, as the employee is performing his/her job, would have a negative influence on the perception of in-service training and decrease the motivation for learning, according to research (Peters et al., 1984).

In-service trainings and specifically orientation and rotation applications differ, since each firm is unique in terms of strategies, policies and processes. For example, when the person is hired, s/he is introduced to an orientation training. At this point, the newcomer's integration with the organization is aimed, for it will influence his/her first impression, performance and job satisfaction. It should be known that when this process, which is ideal and generally accepted, is successfully applied, it could bring along significant and tangible contribution. Still, some organizations treat these applications as merely formalities and often overlook them. On the other hand, new recruits have to find answers to their questions; because ambiguity about the firm and potentially negative impressions have to be prevented. If the first impression is good and close attention is paid, the new recruit would find the opportunity to get to know a foreign environment and feel safe here; the possibility of future failures could hence be decreased.

It has been identified that a different *rotation* application could increase productivity and efficiency for the organization, while preventing knowledge to become old, increasing knowledge, boosting motivation, ensuring job satisfaction and high morale, supporting career development, generating a quality environment of competition, preventing alienation and increasing loyalty towards the job and the organization for the people. For the sake of the efficiency of rotation, there are some matters that shall be handled carefully; for instance, the person's job change shall be within his/her original job and such changes shall be carried out in a timeline that is most suitable for the employee. Keeping this process shorter than necessary may cause the person to not acquire sufficient knowledge about the job and fail to achieve adequate productivity; on the other hand, if the time is kept too long, it might affect morale, decrease motivation and even cause more severe outcomes, such as exhaustion and quitting.

## CONCLUSION

As organizations pay attention to keep up with technological developments and external conditions, they simultaneously aim to increase productivity and profitability by attempting to increase the employee's compliance with, commitment and loyalty towards the organization through education, training and development activities. Equipped with training, highly loyal employees would perform better and are the keys of the organization's fulfilling of the goals and its sustainability.

Using said key refers to taking employees' potential and knowledge concerning their job performance or fulfilling their tasks to the expected level and even exceeding that level, organizing in-house and technical training programs to that end, building links with outside sources to contribute to the education, training and development of employees inside and outside of the organization, developing an effective career system to provide promotion opportunities to employees within the organization, determining minimum conditions that are required for each position to be promoted to, explaining career (promotion) paths and announcing them to the staff, establishing and executing ways and methods for employees with these opportunities to develop and become managers and developing applicable strategies. In a sense, all these applications are equivalent to increasing employees' commitment and loyalty towards the organization. Additionally, employee needs could be fulfilled, so that they can improve themselves and shape their careers. Employees must be prepared for changes of duty, promotions and more responsibilities. It is quite natural for employees to advance their careers. Education, training

and development applications help them to advance their careers, while helping the organization in increasing its productivity.

Consequently, organizations must melt formal and informal features in the same pot and determine their own policies and principles in education, training and development applications with an objective approach. Orientation and rotation channels of education, training and development applications provide an address for positions, to which employees can be promoted during their careers. These channels are closely related with business analyses and assume a guiding role in promotion policies. It is of benefit for the employee to have candid knowledge about these applications throughout his/her professional life, with respect to motivation and future plans. On the other hand, orientation and rotation applications, organized for the employees, are closely related to the choice, success and review results of the employee. Records concerning the employees' knowledge, skills, experiences and talent have to be taken. An efficient selection of methods shall be established for such applications, so that candidate qualifications can be evaluated and compared with those of other candidates. Organizations must invest in educational activities to ensure efficiency and productivity of applications. The qualifications of the personnel, who works at another position or switches to another position, may not fully be in accordance with the necessities of the new task or the team. Compliance issues may be overcome with in-service orientation and rotation applications; when necessary, the compliance of person and job can be revised and necessary solutions may be produced for the organization and the individual. Moreover, support is provided, when any errors are made on-the-job. It is healthier to adopt the trial and error method, for the employee to think and learn on-the-job. The organization's identification of the steps for effective planning and execution from all aspects, revisal of reorientation and rotation programs instead of orientation and most importantly, being mindful of its employees are necessary for collective sustainability.

*Orientation* should not only consist of the introduction of other employees, managers, i.e. the hierarchy and the organization upon the recruitment of the candidate. Changes, brought along by environmental conditions and various matters such as revised vision, mission, culture and values, strategic structure and industrial changes shall be shared again with the employees, as needed and frequently, platforms, in which employees can be included and have a say, and up-to-date orientation programs shall be implemented and repeated with redesigned content and employee participation must be encouraged to that end.

Due to the deficiencies and inadequacies in reorientation and rotation applications, employees may lose sight of the whole, as they delve deeper in their jobs; they may even forget what they serve. Therefore, the job starts to lose meaning, as the employee looks at one tree and loses the ability to see the whole jungle, which causes the employee to become more distant than the organization. It is not enough to be aware of the ideal methods of the day; organizations must develop and execute unique programs, in line with their vision, beliefs and goals.

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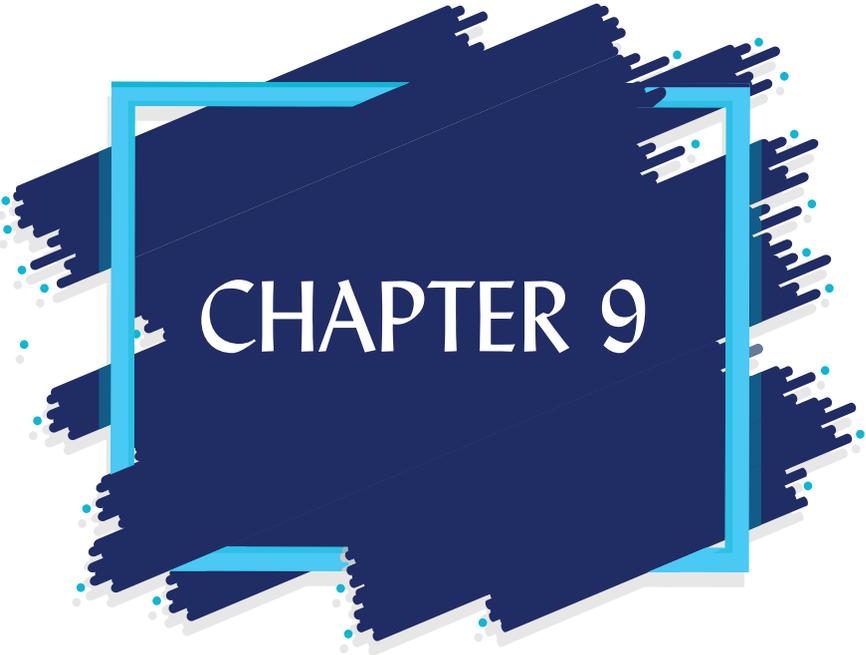
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# A COMPARATIVE ANALYSIS ON ANCIENT RELIGIONS OF THE MIDDLE EAST

Günseli GÜMÜŞEL<sup>1</sup>



## CHAPTER 9

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## A COMPARATIVE ANALYSIS ON ANCIENT RELIGIONS OF THE MIDDLE EAST

Günseli GÜMÜŞEL<sup>1</sup>

*“There is a nation who are living in our territories. They called themselves as “Yezidis”. They have a specific religion. Moreover; they think they are Muslim. But, they have a position which is far away from being a Muslim. Their beliefs, worships, traditions and religious rules are completely different. Most of their companions do not know even their own religion. Maybe they do not know, maybe they hide it...”*

Mahmut Bilge from Cizre wrote these sentences while he was defining Yezidis in his book (Bilge, 2002). Certainly, Yezidism could not be restricted into these sentences.

First of all, it is important to know what is the meaning of Yezidi? The Kurds called the God as Huda (*Xweda*) and Yezdan. The word of Huda means “to create himself” and the word of Yezda is derived from “ezdam” in Kurdish. It means “the one who creates me”. It is obvious that the Kurdish people believe that God is existed from the power of himself. Because of it when a Kurd swears, he says “bi yezdane dilovan”. It means “to the name of the clement God who creates me” in Kurdish. Most probably, the Kurds swore with these words before the Islamic period. Because, when the Arabs were worshipping to idols, the Kurds were consecrating the unique God Ahura Mazda. When the Arabs campaigned to the areas which the Kurds living in A.D. 637- 639 with the aim of spreading Islam, it was the first time when they had faced with the Kurds. Because of the Arabians called the God as “Yezdan”, they called the Kurds as “Yezdani”. After a while, the word “Yezdan “ transformed as “Yezidi” and it was given to the Kurdish groups which adopted the Mazdaism or Zoroastrianism. Clearly, the name of “Yezidi” is signified to a religious group rather than a racial one. As it is said “the Muslim Kurd”, it could be said as “the Yezidi Kurd or the Jewish Kurd”. The Yezidis speak in Kurdish like the other Kurdish groups which embrace other religions. Tori claimed that the Yezidis are Kurdish people because their language is Kurdish (Tori, 2000). According to him, a society’s language determines its origin. As they speak in Kurdish, their adoration is also in Kurdish. For instance, the morning prayers, the circumcision and baptismal prayers, inculcation prayers for dead people and the harbinger for the “Sencik” which is about a peacock sculpt worship are all in Kurdish. Moreover, according to the Yezidis the God is speaking Kurdish.

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There are different meanings of the word of Yezidi. According to an uncertain opinion, the name of Yezidi is regardless to “Sultan Yezid” who is the son of Muaviye the Caliph. Because of the incomplete sources, it must be an effort to legalize Yezidism by using the caliphate. On the other hand, a known name of the God is “Yezdan” and the Yezidis believe that they established a city by calling it “Zoroaster” and this Yezidi city is their starting point. According to them, before they took the name of Yezidi, they were called as “Yzedi”. It means “the comers from the City Yezd” and this attribution transformed into “Yezidis”. Yezd is known as “The X Province” in Persia and located on Deşt-i Kebir and Deşt-i Lut. This city is built from unseasoned bricks and cisterns with an air intake. It is an import centre for cereals, raisin, tobacco and opium. Also, the people who are interested in crafts claimed that there are many craftsmen here. Also, there were institutions in the city to serve religious education but they were abolished. This city is also holy for the “Gebr people” which is the name given by the Muslims to Zarathustras. There are graves of many Zoroastrian reverend here. The word of “Yezdan” is perceived as “the God of Charity or the God of Goodness (Ahuramazda)” by the Old Zoroastrians and these roles are regarded as suitable for Zoroastrians. But, when the living areas of the Yezidis are thought, it becomes impossible to emerge in the same city for all Yezidis who are really populous.

At this point, here is another problematic issue: the Yezidism history. There is not any document that could be understood as a historical source on Yezidism. According to the Yezidi belief, being a literate man is certainly forbidden. Only a small group can read and write as long as memorize the information and obliterate the material later. This rule is important for them because they believe that the true knowledge and their oral traditions would be come to a full stop in the future if they write them. So, the history of Yezidis telescopes with the state history which they live in the same geography and the gathered information is only by the agency of these states’ sources. The story of Yezidism must be started with Sheik Adiy bin Musafir who was realizes as a divine existance and prophet among them. In fact, he was a Muslim Sufi. He went to Baghdad with Abdulkadir Geylani who was the founder of “Kadiri Sect” to learn from a conservative erudite: Imam Gazali. After his pilgrimage in 1116, he went to the Valley of Lalesh as a hermitic. The famous Sufi Ebu’l Vefa Hilvani was with him. They transformed an old Christian monastery to a “dergah” to educate the disciples. During this time his epithet of “el Şami” was changed as “el Hakkari” which means “from Hakkari”. Then, he wandered around Musul and Hakkari to spread his ideas. It was really effective because there were some people who came even from Morocco to visit him. There were different views about the sheik. For example, Abdülkadir Geylani if the

prophecy was something that could be reached by working, undoubtedly, it was Adiy's right. Also, İbn-i Kesir, El-Hafız Ez-Zehebi and İbn-i Hallikan justified that he was able to work miracles as a sanctified man. There are three basic works of him that the Islam world still benefit:

İtikad-ı Ehlü's-Sünne

Adab-ı Nefs

Vesaya

When the sheik was died in 1162 and buried to the Valley of Lalesh, his tomb was opened for the visiting. This sect became famous under the name of Yezidis during the period of the sheik's nephew Adiy II. He was son of another sheik who was Sheik Berakat. The Yezidism was figured in his era. Certainly, there were absolute conditions to prepare this religion's development. Firstly, the Orthodox Islam was arising and there was not any tolerance to different beliefs. The Valley of Lalesh was the place which the Christians and Sufis refuged and lived in the mountains and caves (Sever, 1993). Then, the situation of the Yezidi sect which would be remembered as "Adavi" was a typical Sufi order before Hasan bin Adi. He replaced the Sufis' introverted and secular conformation with a new dynamic (one of his tract is in Berlin State Library). He was a fiery preacher and a hearty defender of Yezidism. Moreover, the "Kitab el Asvad/ Meshaf Reş (The Black Book)" was written by him. It includes the ranks of God, the Holy Peacock and the Satan. But, there was no other information about this book because, it was stolen by a group of researcher from the village of Esiya in Musul in 1917. According to an Iraqi teenager, Nasır el-Gafiki who was studying medicine in Germany, the book is in a bookstore here. He also took a photo of the Black Book. According to a common belief, the secrets of Yezidism would be learnt from this book. The other holy book of Yezidis is "Cilve" which was written by Sheik Adiy to a gazelle pelt. According to Yezidis, it is the speech of God to his servants. This book focuses on the other holy books in the world and says that these were all falsified by others. The suitable behaviour is acting in Yezidi circumcisions and traditions. They think they are the unique true and emphasized this in "Cilve" :

***" We believe in one God, the Creator of Heaven, Earth, and of all that is alive".***

***" Our Prophet is Ezid".***

***" The Yezidis have no scripture; God's Word is handed down from father to son" (Allison, 2001).***

In addition, the religions and beliefs that constituted Yezidism should be evaluated specifically to understand the roots of their religion:

**Zoroastrianism or Mazdaism:** Zoroastrianism is known as the oldest religion of the world. It was the official religion of the Iran Empire between the sixth century B.C and the seventh century A.C. The indo-Iranians which was the ancestor of both the Indians and the Persians was a part of the indo-European family. It was also a nomadic society that dealt with husbandry in Southern Russia plains. This society was divided into two parts as the priests and the worshippers. In addition, there were hunters and sheepmen. Then, the society was separated into two parts. One group went to India and the other one migrated to today's Azerbaijan and Iran over Caucasia. But, their location was not the only variation, they also changed their religions. They established Brahmanism in India and Zoroastrianism in Iran.

In Zoroastrianism, there is a special emphasis on good and evil. Differently from the other religions, the responsibility of a devout was to advocacy the true side not to invoke for the good and evil. Because, they were in reality and they would not be real by adjuring. The sun was the source of caloric and light. So, the good Ahuramazda was in the sky and his sign was also the sun. The fire was the symbol of the sun in the earth and it was a part of the sun. In the end, it must be holy either. There were fire temples in Zoroastrianism, the believers also tried to keep alive the fire in their homes all the time and they spattered fragrance on it. For this reason, the Muslims called the Zarathustras as the fire worshippers. There were gods for sky, water, wind, water and fire in primitive religions. But, the Zoroastrianism was different because the people were not worshipping the fire, it was a deep respect. In the same way, the Yezidis are known as the "worshippers of the sun and fire or satan". In fact, the Zarathustras and the Yezidis do not worship the fire, only they attribute it as holy. This kind of similarities are also accepted by the famous orientalist and scientists. For example, according to Joseph Hammer (1774- 1856), Sheik Adiy united the Zoroastrianism principles in Anatolia by written and certain rules and he rearranged it (The Turkish Midyat Habur Journey, 13th May 2006).

**Gnosticism:** the word of "gnosis" is derived from "gnose" which means "deep and full knowledge" in Hellenic. It means to realize or to understand. It is called as "Marifet" in Alevi literature. The current Gnosticism studies show that Simon Magus (the Magician Simon) is the father of all Gnostic religions. In the first century, gnosticism was dominated by Simon Magus's students like Dositheus (in Samarya) and Kerinthos (in Anatolia). Another gnostic Karpokrates was from Egypt, but he established his sect in Anatolia. Also, Marcelli who was a student of Karpokrates went to Rome and established the "Sect of Marcellians"

(Sever, 1993). The gnostics were heretics according to the Church Fathers, because they were against the dogmas. So, the fathers tried to eliminate them with the help of inquisitions. But, they failed and gnosticism had entered into the mystic religions in the East and led to spread them. The Jewish mysticism is called “the Cabala” and the Islamic one is Sufism. By the way, it started to penetrate into the Yezidism with Bardayşan from Urfa who was a supporter of the gnosticism.

**Manichaeism:** In the end of the second century, when the Gnostic schools started to lose their effect in the Roman Empire slowly, gnosticism had already found a wide base in Mesopotamia territories. This gnostic religion is Manichaeism which is known with the name of his founder “Mani”. In addition, all of the gnostic beliefs were the pioneers of manichaeism in Urfa and Nusaybin. It was the real synthesis of very known religions and beliefs that could live until the second century, namely, the Zarathustra dualism, the Babylonia folklore, the ethical principles of Buddhism and the Christian elements. Manichaeism was based on two eternal principle: the good and the evil.

In the beginning, it was in a philosophical format, but then, it turned into a religion. According to Mani, the material and the soul were the same thing, in addition they were united into a philosophy of nature which was harmonized with the century’s scientific perspective. The structure of the universe was based on good and evil or light and darkness. At this point, the manichaeism focused on a primitive dialectic by underlining the God and the Satan in a imaginary conflict. It was very similar to Yezidism. Also, manichaeism had an antisocial character because it was basicly for a specific group and had not an aim on changing the political structure. These features led a passive quality in the religion. Lastly, the rituals and devotions like the “libase xwe guheri” ceremony for dead people and the festals were very similar with Yezidism (*libase xwe guheri* means to change clothes in Kurdish).

**The Sabi Cult:** The cult is one of the oldest religions in the Middle East. It had a Gnostic tendency and it was inspired by the ancient polytheistic religions. This religion was established by Hermes/Azimun (İdris), Satan and Orpheus. According to the cult, these people were the real prophets with noble personalities. Their belief was based on seven planets which were created by the “Magnanimous Being”. The planets were commanding both the world and earth. The Sabis were praying to the sun three times in a day. It was the same with Yezidism. Also, there was transmigration of souls in the Sabi Cult like Yezidism. The cult was a secrecy religion and there were concealed adorations. Likewise, the Yezidis do not let people to

join or see their rituals in Lalesh. Moreover, their customs on eating habits, baptismals, etc are very similar.

**Sufism:** Sheik Adiy was a Sufist and his order (Adavis) was a Sufi one (Sever, 1996). The word of “sufi” is derived from “sophos, sophia” which mean “knowledge” in Hellenic. On the other way, the Western sources confirm that this word is derived from “sof” which is a kind of woolen cloth that the Sufis wear. The Sufis are focused on “tasavvuf (the Islamic mysticism)” and it means to learn deeply the religion. The related part of Sufism with Yezidism is their attitude to the evil or satan. They had an approach to make the satan’s esteem regain. The first owner of this idea was Hallac el-Mansur. He defined Mohammad and the Satan as unique supporters of one and only God: Allah. According to Hallac, Mohammad was the treasurer of divine mercy when the Satan was the one of divine anger. The famous Sufi Ahmed el-Gazali was the another advocate of this idea. The Yezidi manner to the Satan is similar, according to them, “the satan believes one and only God more than the God’s himself”. In addition, Sanai who was one of the first Sufis said that “the one who did not learn joiner from the Satan is irreligious” (Sever, 1996).

**Mandaicism or Mandaeanism (“Mandaiuta” in Mandaic, “Manda’iyya” in Arabic) :** A small group who was speaking in Med language in Tund Mada or Turad Mada area developed a religion which was called Mandaicism. According to the group, the King of Arduvan was their leader. Also, they had a sacred book which was called “Ganza or Ginza”. The description of the “Evil’s World” shows the similar beliefs with Yezidism. According to them, there was a “suzerain of dark” that was the evil or the satan. The humanity was created with a light and it was the source of material. The human soul was made of fire as the light and when people died, they were going back to the sky: the sun. So, they believed both the “respectful” fire and transmigration of souls (Tori, 2000). Likewise the Yezidis, the Mandaicists believed that the fire had a power to re-create everything.

**Hurremism:** The Hurremists had a dualist point of view nearly (Tori, 2000). They believed in two impulses’ existence: the light and the dark. According to them, the God and Satan were in an eternal fight. In spite of similar aspects with Yezidism at first, the motive had changed into an ideology of the Kurdish/Yezidi peasantry in Cibal, Hamadan, Dinaver, Kermansah, Şahrozor and Hulwan. Then, the supporters of Hurremism focused on the social inequality and the injustice’s roots. This 20-year-old movement started to decline inside the group because of its contradictions. Finally, it was suppressed by a Turkish man Afşin with the help of an Armenian prince Sahl Ibn Simbat.

**The Sun Cult of Harran:** Saint Adday ( Thomas the Apostle) wrote that the residents of Harran and Urfa were worshipping to the sun and moon just like divine beings. He accused them for being pagans and a threat to Christianity (Sever, 1996). The people from Harran established a secrecy religion which was based on seven planets and stars, namely in Assyrian and in Latin: Şamaş/ Sol, Sin/ Diana, Nabu/ Mercurius, İştâr/ Venus, Nergal/Mars, Marduk/ Jupiter, Ninurta/ Saturnus. Each planet was a God and the especial one was the God of the Sun, Şamaş. This cult is still alive among the Yezidis today.

After comprehending the roots of the Yezidi religion, it should be suitable to continue with details. In the 14th and 15th centuries which are called as Dark Ages by religion historians, a new Middle East religion were laying a foundation: Yezidism. It was a mixed religion and the members of the congregation were from different peoples. Multifarious ethnical groups created an ethnical synthesis. The reason of this synthesis was the people who came together to complete the religion by adding their own beliefs. The symbol of this new religion was the peacock. But this symbol was similar with a cock rather than a peacock (Sever, 1996).

In addition to the monotheistic religions like Judaism, Christianity and Islam and the secret religions like Nusayrism and Shiism; the pre-Byzantium public churches like the ones of Armenian, Maronite, Assyrian, Copt, Ethiopian, Eritrean were all originated in Middle East. Although the founders of the monotheistic religions, names the first apostles and the church fathers are known, the real founder of Yezidism is not known. Neither in their holy books nor the chronicles of the historians and the comments of the theologians, the founder of this religion is not written. Moreover, there is not any sign about the writers of their holy books, they are unsigned. According to many religion historians and theologians, the Kurdish people in the precincts seized an opportunity to combine traditions and beliefs from not only different Christian and Muslim sects but also religious associations by patching them for a new religion. The assumptions of Yezidis are different. Yezidis believe that their religion is really from very ancient times and the information about their foundation is forgotten because their sources were lost in course of time. At the same time, the reason why they did not tergiversate is their deep-rooted religion. Undoubtedly, these assumptions are wrong (Sever, 1996). Its wrongness is not because of their unimproved assertion. The Yezidi religion is a collective one. Naturally, its “founder” could not be known, there should be “founders”. The authors of their holy books were also collective, this is why there was not any name. Sheik Adiy wrote his name under all his inscriptions.

In the 18th and 19th centuries, the Christian and Muslim missionaries who came to region to collect data about Yezidis could not learn more information than they knew. The religion of Yezidis was a secret one, so during the discussions the questions were being answered as what the owner of the question had wanted to hear. Basic principles and rules of Yezidis were being saved in the congregation. As a result, this religion could not be understood in a true way and it caused so many problems that cost the blood of Yezidis. Because, they are accepted as a pagan and diabolist or satanist society. After the mentioned above, it would be applicable to cite on their myths and legends. First of all, Yezidis are divided into two parts about the creation of the world or universe. One part talks about a Creator and his characteristics when the other part only talks about human being and his derivation. But, both groups support the same idea on beliefs and perceptions in the end. According to Yezidi creeds, the hand who creates the world or universe could not arrange it orderly. It is really disorganized and contrary.

Initially, God created a white pearl from his own essence and a bird which is called "Fakir". This pearl stopped on the bird after forty years. Then, God began to create seven archangels. On Sunday, he created the "Azrael, the angel of death". It is the peacock and head of the angels. On Monday, he created Derdail who is Sheik Hasan Basri. On Tuesday, he created Israfel who is Şemsettin. On Wednesday, he created Mikhael or Michael who is Kadibü'l-Ban. On Thursday, he created Secaattin and on the other day Semail who is Nasiruttin. Lastly, on Saturday, he created Sheik Adiy. Then, he created the sevenfold sky and earth with human beings, birds and wild animals. During the creation period, the Creator was still into the pearl. In the seventh day, he moved out. The seven archangels surround him by reading "tehlil (*lailahe illallah*) and rosaries. These seven archangels are the falling stars of God and his spirit. They are eternal. As it is said in their holy books, these archangels legislate in every thousand years by the help of prophets. Then, the aforesaid pearl bursted and the seven constellations occurred. The water started to flow from these constellations and the seas occurred. The world became spherical. God reached out and appointed the four directions. He took two big pieces and lots of small pieces from the pearl. One of the big pieces was sun when the other one was the moon. Then, he scattered the small pieces to the sky as an adornment and these were the stars (Bilge, 2002). He created the mountains, plains and trees. Lastly, he created a heavens on Lalesh Mountain which was luminous.

In addition, there is another creation matter about Yezidis, it is the creation of human being. According to the legend, when God wanted to

create the cosmos, he announce his archannels: “I will create Adam and Eve and make all human beings derive from them. The secrets of Adam and his son will be explained. Then, I will create the Archangel Peacock or the Yezidis”. Moreover, he gave orders to Cibril about collecting corpuscles from the Lalesh Mountain and the holy place Damascus. Then, God created the four elements from these corpuscles: water, air, fire and soil. He blowed them out spirit, so Adam was born. God brought Adam to heaven and gave order to Cibril for saying Adam that all of the boons except the wheat tree was permissible for him. After a hundred years, Archangel Peacock asked God how the humanity would derive from Adam and where was his generation. Upon this, God entrusted Archanel Peacock for it. This time, he went to Adam and asked him if he ate from the wheat tree. Adam replied him: ”No, because God has forbidden me to eat from the tree”. Then, Archangel Peacock said that he could eat from the wheat tree and added that he would be given good things when he ate. So, Adam ate from the tree and his ventral swelled. The Archangel Peacock displaced him and took down to earth. Then, he returned to the sky. Adam began to cry because he could not find a hole to relieve himself. God ordered Cibril to send a bird to the earth. Then, the bird came and made a hole for Adam, he felt relieved. After that, Adam had stayed alone for a hundred years. He was bored. He cried and repented. God ordered to Cibril for alightening the ground. Cibril came to earth and created Eve from Adam’s chest. Adam and Eve wanted not to proliferate in a mutual generation just like the animals. Upon this, Adam and Eve put their semens in seperate cruses and closed them. After nine months, they opened their cruses. In Adam’s cruse, there were a boy and a girl when in Eve’s were larvas and insects. The boy and girl who were born in Adam’s cruse and their children were real Yezidis. God created two nipples on Adam’s chest to give milk to his children. Since that time, there have been nipples on the male body, too. Then, Adam and Eve got together in a plain in Mecca, Arafat and they made peace. After that they became parents of all humanity members. So, according to this myth, Yezidis were born by Adam when the other people were born by both Adam and Eve.

Furthermore, there is a different comment on the Deluge among Yezidis. According to them, there were two floods. The first flood was in Ayinsifni which was a holy Yezidi village near Mosul. The ship was on the Mountain Sincar. The ship crashed a stone in the Sen town on the stream of Zap and a snake appeared. The ship stopped on Cudi. The generation of snake was proliferated. Noah caught and fired them. Then, he scattered their ashes. The ashes became fleas. After this flood, there happened another one to drown the people who were against Yezidis. In the first flood, Yezidis’ father was only Noah when the other people’s was Ham who was son of Noah. In the second flood, the father of people was the dead angel Selam or

Meyvan. God sent Sheik Adiy to the holy Lalesh from Damascus to teach and spread the Yezidi religion.

In Yezidi religion, the relation between hell and Yezidis has also a myth. In accordance with Yezidi beliefs, God sent one of his angels (Fedai) to the earth and it created the hell. There was a son of this angel who was called Erif. The angel made his son ransom to save Yezidis from the hell fire. Its tears that were falling to the corpse were just like sand and they had stood upon the body for five years. The corpse swelled. God threw it to fire and these tears extinguished and the humanity was saved.

The last legend is about starboards or sanjaks. According to Yezidis, there are seven sanjaks of seven archangels who were responsible on creating the world. These archangels commended them to *Süleyman the Philosopher*. After him these sanjaks are passed to Yezidi rulers or “meliks”. The sanjaks were belonged to the cities of Aleppo, Sincar, Tikrit, Şirkat, Samira, Urfa, Damascus, Siirt, Nusaybin, Beyazit, Van and Hakkari. When Yezidis visit the holy places they hold them up to collect the oblations. They also carry Archangel Peacock’s symbol. When they come near to a village, one of the Yezidis announces that the souls of archangels is coming. After this, the people of village welcome them with flowers and fragrances. Finally, they put their alms to the boxes of sanjaks with a great generosity.

The starting point of these myths and legends is perceptions of good and evil without doubt. The belief of good and evil is eternal for human beings (Bilge, 2002). Moreover, according to many philosophers this belief is the motive of religion and credo. The natural events influenced to human beings deeply and created various beliefs in their souls. The effects can be grouped into two parts. The first part is worthwhile which makes happy people. The other part is harmful which frightens people. Even a person who has a very simplified belief cannot save himself from these two effects. The ancient people believed that these events were directly coming from the earth and pretended incidents. At this point, the Yezidis believe in evil under the satan conception and they represented the satan as “the God Bird or the Peacock”. It has an interesting story: one day God got angry with Archangel Peacock and expelled it from Heaven. Now, Peacock is living out of Heaven but, in the Judgement Day they would make peace so, it would return the highest positions. During this time, the holy angels and saints around would respect it and implement the orders. Additionally, there is another version about the evil or satan in Yezidism. According to Tori (Tori, 2000), when God created Adam, he wanted to make prostrate the archangels himself. The Satan disobeyed it because Adam was created from ooze when it was from fire. So, it was a kind of dishonor. God decided to punish the Satan for its disobedience by attaching a ring of damnation

on its neck and sent out from Heaven to the world. Since, it has being tried to mislead people and encourage the evil. Because of these sanctions, the Arabians defined Yezidis as “satanist”. To understand the Yezidi motive will be necessary for saving them from this kind of unfair imputations. First of all, according to Yezidis, the Archangel Peacock is the satan who created universe with God. Because, they believe that universe is emanated by two basic power: the benefaction who is God and enormity or evil who is Satan. It is true that God sent out Satan but, in their eyes, Satan is an old archangel who will be given back after the evaluating. Satan is the one who creates enormity. Due to this fact, Yezidis prevent to mention its name. They ascribe the stories of Adam, snake and peacock in Torah to Satan. Yezidis worship God with gratitude. But, they worship Satan because they are extremely afraid of it. They respect it but not for a divine love, they only want to be sure from its wrath. They never say “satan”. They cannot imprecate it. Moreover, they do not say the words like “lanet, nial, seretan, hitan, bostan, şat, bat, nat, ...” which are derived from the word and rhythm of the word “satan”. Because, they think that when they pronounce these words, Satan would be resented. The fear of Satan is on the top so that they turned away from God who created the benefaction or good and preferred to worship to Satan to be saved from its enormity. According to them, it is necessary to worship Satan heartily to find the absolute happiness. For instance, they closed the words like “Taavvuz, Şeytan, Lanet...” with beeswax in the Holy Qur’an.

In addition, this application led a serious problem in early times of the Ottoman Empire. According to Ottomans, it was a enterference to change or falsify Muslims’ holy book which could not be changed forever even a word. Because of this perception to these “blasphemous” people, approximately seventy five percent of them were killed in Mosul in 1260, the year of the Hegira (Bilge, 2002). In fact, it is not a realist view to associate Yezidi religion with Satanism. In detail, there are two basic groups and approaches in Satanism:

- The Left-winged Satanism: They focus on the universe’s power. According to them, one side of cosmos is ocured by the beings people cannot see. These are the angels and demons. It is true that they are existents but not for a divine concept but their own orders. They claims that the Archangel Peacock and their God of Wisdom (Enki) is completely opponent about the characteristics, doctrines, principles, duties, cultures, powers and especially their presences of spiritual life. They certainly deny any kind of similarity with Yezidis because, according to them, they never worship any existent which was created later under the order of another God. The God

of Wisdom cannot be related with any enormity. Lastly, they never believe that the Kurdish people who are trying to legitimate themselves by factitious connections are not Yezidi.

- The Modern or Spiritual Satanism: In this system, there is not a Satan. It is only the symbol of opposition to heavenly God. Also, it is a vital spiritual being. Its aim is to show human being how could it be possible to being his own God. Clearly, this kind of aim should not be suitable for Yezidi perspective in Satan. In addition, spiritual satanists are never afraid of Satan but enjoy it truly. Also, they are not under the order of it or any other power or God (<http://sataninturkey.net/>)

It is obvious that the idea of evil placed into Yezidism in a direful way. Likewise, fire is another vital factor in their life. According to Yezidis, God is before the creation of the sky. God existence was spontaneously and he creates the light sources like the sun, moon and stars from himself. So, these are all holy for Yezidis because of coming from God. It is for the same reason why the fire is also holy for them. First of all, fire is a light source and this shows that it is a God power. Because of this sanctity, Yezidis never spit on fire, micturate to it or leap over when it is ember. In addition to see fire as a heat and light source, they believe that the truth was born in the sun. They also consecrate the sun, moon and star because they are spreading divine light. In opposition, they hate the reasons of evil: darkness and cold. Moreover, they pray for the morning and evening sun and they believe that the first half of day brings plentifulness. In the beginning of last century, there were some Yezidi- Kurdish groups which were called “Şemsiye (related with sun)” in Mardin. These people were worshipping by facing to sun. Also, according to them, continuity of a family is depend on burning the fire. Bazil Nikitin supports the opinion of a European observer who is called L.Krajeski in his book “The Kurds”. Krajeski says that “a Yezidi never prays. But, it is obvious that they privilege the sun. When the sun rises, they prostrate three times. After that, they kiss the first places which take the gleams “. In addition, when a Yezidi is doing this, anybody from other religions should not see him. If it happens, the worshipping Yezidi has to kill himself or the one who saw him (Bilge,2002). According to Emir Kamuran Ali Bedir Han, Yezidis do not worship for the sun. But, he accepted that some devout ones were kissing the gleams on tree trunks (Tori, 2000). In fact, the worshipping style of Yezidis is an admixture of the one in Islam, Christianity and Zoroastrianism. By the time, their worships gained a special characteristic. First of all, there is a prayer

(namaz) ceremony during the sun rising. It includes prostration to sun. It has a special devotion:

*“ Amin, amin, Allah tebarekedin, Himmete Şemsettin, Fahrettin, Nasiruddin, Sadrettin, Umadettin, Bahaattin. Şişim sar Kuvvetettin, Sultan Şeyh Hadi, Tace ji evvel he ta bi ahirin. Hira didi, şerra verdiğerini Elhamdülillahi rabbilalemin. Sibeye ruj zeriki, nur ji nuri şefiki, melek Harman li ifiki, suphan ji teke haliki.”*

It means that *“Amen, amen, God is the abundance of religion. I desire the protection of Şemsettin, Fahrettin, Nasirittin, Sadrettin, Umadettin and Bahaattin. Sultan Sheik Adiy is the first and last crown. He gives the favours. He clears the evil. Elhamdülillahi rabbil alemin (a statement to show thanksgiving to God in Arabic). The morning came, the sun rised, the light from light dawned. The angel Hamram alighted on. How well you God.”*

Another basic worship of Yezidis is the fast (oruç). They fast three days in January every year. According to Yezidis' holy book which is the only source of all religions and religious laws, the time for this worship is three days (“se ruz” in Kurdish). But, the Muslims fast thirty days (“sih ruz”). According to Yezidis, the statement of “men cae bi”l-hasenati felehu aşru emsaliha” in the Holy Qur’an (En’am 160) means that God will give ten favours for a favour, so, when day fast three days, they are given the 30-day-good deeds. But, Yezidis break their fasts with a piece of salty bread just like the Jews. Also, Yezidis do not eat or drink due to their respect while the Muslims are fasting.

Last important worship of them is pilgrimage. Sheik Adiy's tomb which is in the village of Baazra or Baadri in Lalesh is the Kaaba of Yezidis. Yezidis circumambulate here with a special ceremony every year. They get together here. Also, they visit their dervishes' tombs. The New Year Festal (Sersal) is on the first Wednesday of April. Just before this festal, Yezidis go to Sheik Adiy's tomb with the seven sanjaks as they are named above. During the walking they beat the drums. When they arrived here, men and women started to dance in their own style. Then they eat together. All of the foods are supplied from Sheik Adiy's gainings. Any guest can eat alone or from his own pocket. According to a Yezidi belief, today, this place is surrounded by a holy red light and any Yezidi who enters in will be forgiven for his sins. On Thursday and Friday, they go to Başika village in Mosul and stay here during two days. They repeat the same ceremony, this time not for Adiy but for Sheik Mehmed. On the second Friday, they

go to Deraviş Village to visit the tomb of Sheik Hasan Farduş. On the third Friday which is the last day of pilgrimage, they visit Sheik Ebi Bekir's tomb near the village of Bahzani. They dance and swarm here. These religious ceremonies continue during two days. so, they complete their pilgrimage. In addition, Yezidis who go to pilgrimage take an amount of soil from Sheik Adiy's place and make them little pills. When they return their hometown, they give these pills everyone due to their blessedness. Some of the reverends sell it to earn. It is believed that these pills cure patients (Bilge,2002).

In addition to these religious rituals, the social phenomenons like helping a boy being circumcised (*kirvelik*), brotherhood of afterlife, birth, death, funeral have a important place in Yezidi traditions. Yezidis have a rich folklore. For instance, folk dance, stories, ancient myths and etc. There are some examples of them here:

**“Feriq Pahsa: Qarpal:**

1. *Dile mini teng e, mina bu tara bejinge, xwede ava neke mala Feriq Paşa li bayana sibe, ewe mal u malbata şine be Sifuqe, meto bave Berces milke Feqira wella, rebene bi dara zivinge o.*
2. *Bi dara zivinge, Şad u nişuded Ose Mecdi keke Kemel gelek hene ax, se denga dibeje Miheme “Evdo bave Salaye Sifuqe Meto bave Berces, “Geli bav u bira, ye meri çebin, lep hilinin, Bi izna Siltan Ezdi u eme vi ro ve nizame bişkeninin u, ce bi xwede ji iro paşve şer kefte ser dere Kur Bimbarek, ser “erz u “eyel, Ez bi xulame “Eyşa Bale bim, xodane bist u çar gustili zer, xizemed zerizere, wexte herdu çaved reş u belek keftine ber ferware, min diti bu xişina tok u mendel u zer xezane zerizere. “*
1. *My heart is tight, like the hoop of a sieve, Oh God, don't let the house of Feriq Pasha be standing at dawn tomorrow, that is house and home of mourning for Sifuke Meto, Berjes" father, property of the Feqiran, oh God, wretched ones by the shady tree.*
2. *By the shady tree, the famous ones, the heroes, of Ose Mejdi, Kemel"s elder brother, there are many, oh, he calls three times, to Miheme Evdo, Saleh"s father, Sifuqe Meto, Berjes" father, “ Dear fathers and brothers, do the deeds of men, raise your hands, if Sultan Ezdi permits, we will this day break this system, and as God"s many witness, from today onwards war has come upon Kur Bimbardek, on our kith and kin, May I be the servant of “Eysha Bale, owner of twenty- four yellow rings, noserings of yellow gold,*

*when both her lovely dark eyes began to close in death, I saw, there was a rastling of her necklace, her gold nosering, yellow gold.*

**Examples of lament: Mrs. R.**

1. *Ey yetim sed heyf u mixabin  
Ey yetim li deri kolona biminin  
Dane soban u evara  
Seri ehsine wi li ber taq u diwara  
Ve sibe çaved wan nesekinin.*
2. *Kuştiye çole sed heyf u mixabine  
Xelke cihel çul i biyanet aveti bin  
Lo lo birindaro tu ji birined xo tu çawani?*
3. *Sed heyf u mixabin xelqe nezewici li cihe tali werin de...*
4. *Xelqe dema xo nexwari,  
Xelqe kuçikoke dinya nediti...*

1. *Oh orphan, a hundred pities and regrets.  
Oh orphan, let them remain at the street door,  
Morning and evening, they talked  
By the walls ad the doorways about his good deeds  
This morning, let their eyes not rest (from crying).*
2. *He is killed in the wilderness, a hundred pities and regrets,  
Young people went, to be cast away to a foreign place,  
Oh, wounded one, what state have your wounds left you in?*
3. *A hundred pities and regrets, that unmarried people  
come to the final place...*
4. *A person who did not live out their time,  
A little one who did not see the world...*

**Songs of Mourning: Hizreta Heso:** (performed at mourning for “Etare Şero, Tbilisi 1975. the following are a selection from those published in Jelil 1978 I: 490- 503.They are seperate songs rather than stanzas of a single song.)

1. *Şeve payizane direjin,  
Şarur runiştıye, bilbile hale dile mira dibejin,  
Eme kerbe birine birindara, hinek kerin, hinek gejin.*

2. *Dayka derguše ji mala bave berjer buye,  
Cotek kare xezale li we duye  
Diya derguše çawa ji mal u mera kuvi buye.*
3. *Guli reşe, guli ale,  
Rave neynike bine, sere xwe girede, here dewate mala  
xale,  
Go, "Feleka min min dixapine, roja çuyi idi naye."*
4. *Çemo, çeme Paye,  
Çem çikiyaye deng je naye,  
Xazi xera mala xweder, Xorte ture,  
disa mina hemane bere, keleka dayka xwe runişta, disa  
jera bigota, "Daye,"  
Felaka min min dixapine, mi ra naye raye.*
5. *Eme herine mala birazave,  
Eme bejin, "Birazave bira, hina xorte ture neveje ave,  
Heyfa min naye girtina mera, kuştina şera, heyfa min te  
we heyfe, weki jina wi ziviri mala bave. )*

1. *The nights of autumn are long,  
The song- thrush has settled, the night-ingale tells the  
condition of my hearth,  
We feel the pain of the wounded ones "injures, some are  
deaf, some are dazed.  
(Jelil 1978 I: 490).*
2. *The mother of the babe(mother of the cradle) came down  
from the father"s  
house,  
Two young gazelles behind her,  
The mother of the babe, how wild and distant from home,  
from men she has become.  
(Jelil 1978 I: 490).*
3. *Black braid, red braid,  
Get up, fetch a mirror and do your hair,  
Go to a feast at your uncle"s house,  
She said, " My fate is cheating me, yesterday will not  
come again."  
(Jelil 1978 I: 490).*
4. *Oh, river, great river Pa (River Pa, the "kingly river"*

(Jelil 1978 II: 424). Location unknown, though one Badi-nani suggested it was in the Jezire area, which would be consistent with other traditions in Jelil's collection).

*The river has dried up, it makes no sound, If only the joy of house, by God, the lovely lad, would again do as he did before*

*(If only) he would sit by the side of his mother, and say again to her "Mother,*

*My fate is cheating me, it does not go according to my wishes.*

(Jelil 1978 I: 490).

5. *We will go to the house of the best man,  
We will say, " Best man, brother, do not cast the lovely lad into the water yet,  
I do not grieve at the capture of men, the killing of lionhe-arths, I grieve at this grief, that his wife has turned back to her father's house."*  
(Jelil 1978 I: 490).( Allison, 2001).

All of these stories and songs are reached today with the help of oral traditions. But, because they were not written, they are all encountered with the danger of being lost or forgotten. Another reason, Yezidis used to fear from foreign people. They do not bare their hearth to somebody foreign. They give evasive answers to the questions. They do not lie but the answer that is given deficient and disparate prevents the true information or leads wrong comments on the topic (Sever, 1996) .

Also, there are written texts of the Yezidi letters to the Grand Vizier and Sir Stratford Canning. The following letter is to the British Ambassador, Sir Stratford Canning and it is dated 14 Zilkade AH 1265 (1 October 1849). Also, it is signed by the following, reading from right to left:

(Top row) *Hussein b. Khartu; Sheikh Khalid b. Sheikh Lashki; Murad b. Qasim; Ilyas b. Waya; Tamu b. Kal'u; Sheikh Baryan b. Sheikh Abdal; Sheikh Dalu b. Sheikh Koçek; Sheikh Mirza b. Sheikh Isma'il; Abdi Mir al- Danadya; Hussein Mir ash- Shaikhan al- Yazidiya; and Sheikh Nasr Sheikh al- Yazidiya (the two latter with seals).*

(Middle row) *Kawal Yusuf b. Kawal Khidr; Kawal Abu b. Kawal Khidr; Kawal Khalil b. Kawal Hamid; Kawal Ali b. Kawal Suleiman; Kawal Isma'il b. Kawal Jim; Kawal Mehmed b. Kawal Khidr; Kawal Murad b.*

*Kawal Yusuf; Kawal Pir Sino b. Pir Murad; Nafizu b. Kahtahi al-Harahiya; Nu'mo b. Husni; Pir Husni b. Pir 'Abo; and Salu b. Shalu.*

*(Bottom row) Ibrahim b. Hoshaba; Rashte b. Jebel Lailun; Darwish b. Bati; Murad b. Bazu; Sheikh Suleiman b. Isma'il; and Khidr b. Mehmed.*

*Exemplar of the great leaders, pride of the illustrious nobilities, most distinguished and eminent Excellency, of laudable traits, magnificent Ambassador Beg, may God prolong your life. Amen.*

*Reporting to Your Excellency that a few days ago Kawal Yusuf returned to our region and narrated to us about all that he has observed in Your Excellency of hospitable reception, encouragement and sincere advice for our welfare- we the Yezidi community, all of us, extend our gratitude to Your Excellency; it is due to your bountiful kindness that you extended the hand of help to us which we never dreamed to gain, and we became certain of your sincerity towards us when we received the royal decrees in which the Sublime State ordered that no one may harass our sons and daughters, and the absolute prohibition on selling us like slaves, and that the Sublime State is determined to maintain the protection on our lives and property. Who would be mean or ungrateful not to appreciate your exceeding graciousness? Nay, rather, your generosity has been engraved in our hearths. As for what Kawal Yusuf has told us that the Sublime State has determined to impose military conscription upon our community, our answer is that the decree of our master the Sultan is obeyed and no one of us would disobey his momentous decrees. But, we hope that the Sublime State would exempt us for five years until our conditions improve, and our community- which previous Viziers used to oppress- may grow. After then, whenever the Sublime State demands from us military service, our young men will be ready for the service of the Empire. Only, we hope that, when you levy troops from among us, that you would not merge our sons with the Muslim troops but distinguish them in seperate units or with the Christian troops and that the authorities would not threaten their faith. We have nothing whereby we can reciprocate the favors of Your Excellency, but we always pray to God to protect you and prolong your life; for your renown in supporting the miserable and helpless poor is famous. SIR (Guest, 1987).*

The copy of the Yezidis' letter to the Grand Vizier bears the same date as the letter to the Ambassador, but no signatures. It reads as follows:

*Exemplar of the exalted nobilities, pried of the Grand Viziers, of splendid magnanimity, of noble dispositions, Your Excellency the Grand Vizier, may you always be protected by the grace of the prophets and messengers of God. Amen.*

*This petition is presented to Your compassionate Highness: we, your servants, the Yezidi community, sent to you your servant Sheikh Yusuf to explain our concerns at the thresholds of your mercy. And we were very much pleased when we heard that Your Excellency sympathized with our situation and that you have interceded on our behalf with our Lord and Master the Sultan Abdul Mejid, may God render him victorious, so that you will extend your protection to our faith, our community and our wellbeing similar to your other subjects, the Christians and the Jews. We were very glad when Sheikh Yusuf informed us that our Master the Sultan felt kindness towards us and ordered a ban on the sale and enslavement of our children and that no one may interfere in our religious affairs. We, the whole Yezidi community, extend our thanks and appreciation, when you, Your Excellency, showed sympathy towards us and recognized us like the rest of your subjects; we the impoverished simple peasants always pray to God to favor our Master the Sultan Abdul Mejid, may God prolong his life and Grant him victory over all his enemies and strengthen the Sublime State. We beseech your compassion that you look towards us with your most favorable consideration; for the protection that you have bestowed upon us and upon our faith was never granted to us before by any of the previous Viziers. In addition, Sheikh Yusuf informed us that the intention of the Sublime State is to apply the conscription system upon us; we are your slaves, and that is an idea we do not shun, knowing that in the past and especially in the reign of Sultan Murad- may God illuminate his tomb with light- we provided military service to His Majesty when he demanded troops from us, and we are always ready at the service of our Master the Sultan, but we desire from your bountiful judgement that you would exempt us from the conscription system for a period of five years, so that our conditions may improve and our community may multiply, which the previous Viziers used to oppress. After that, whenever Your Excellency demands from us military service, our young men would be ready for the service of the Imperial State. We only entreat to the merciful understanding of the Sublime State that when you obtain from us recruits, you would not merge our bos with the Muslim troops, but rather set them aside in separate units by themselves or with the Christian troops, that no one would threaten their faith. We have long been your subjects; when we were oppressed we assumed we were a neglected herd without an owner; but now we firmly believe that we are faithful subjects loyal in His Majesty our Master the Sultan and we know that if any injustice is inflicted upon us we have a State that would alleviate our distress. And we also used to resemble lost sheep, but now we have a protector and a State that we are proud of. We shall never forget the charitable deeds of our admirable superior His Excellency the illustrious Highness Kamil Pasha (governor of Mosul) , who on the day of his arrival to our region showed great pity for our conditions and*

*brought justice to us; his kindless towards us in exceedingly great- we pray to the Almighty that He may keep for us His Majesty our Master Abdul Mejid Khan and protect him and make him victorious over his enemies and perpetuate the Sublime State and give it strength. SIR (Guest, 1987).*

Presently, it would be applicable to mention of Yezidi festivals and traditions.

In every festival, Yezidis beautify their houses with flowers and they make a fire to show their delights in the evening. Their most important festival is "Sersal" which is the celebrity of the New Year. Then, they celebrate "Eid al- Adha" which is the festival of sacrifices before two days of Muslims'. Also, " Ida Rosa" is the Sun Festals. It is celebrated in the first day of december. They fast for three days. At the end of this fast, they celebrate "Ida Ezi". In addition, there is "Ida Hıdır- İlyas". These festivals are in 18th February. They fast between 15 and 17 February and in the end they celebrate *İsa Hıdır- İlyas*. Moreover, they celebrate "Ida Remezan" before two days ending the Muslim Ramadan festival. Lastly, they celebrate "Ida İsa" which is in the day of the Easter and it is a festival for Jesus's jurament (Beysanoğlu, 1988).

Yezidis have some other interesting traditions. For example, they do not get married with their sister-in-law when their wife died. On the other hand, a widower and widow can get married but, the children of their ex couples can certainly not get married with themselves and this kind of togetherness is defined as adultery. Religious nuptials under the authority of clergy is a must for a marriage. In addition, Yezidis get married in their early ages between 16- 18. Generally, the woman and man's marriage is planned before they born. Just like the other Middle Eastern and Anatolian peoples, they pay money for bride. Fellow wife or female slave is forbidden. Also, they cannot divorce except that very special situations.

Each Yezidi has a brother of afterlife. According to them, when they died, their brothers will help to go to Heaven. It is similar with the belief of sheik in Sunni Islam. The prior relationship with Suni Muslims is helping a boy being circumcised (*kirve*) from Yezidis. Finding a "kirve" in clergy is a high honour, but, it is not possible all the time for any Yezidi. So, Yezidis begin to choose their kirves from Suni Muslims as far as possible. Yezidis do not get married with any man or woman from other religions. The reason of choosing Sunni as a kirve is that according to Yezidi traditions, it is not possible to get married with a daughter of kirve. Yezidis are already a narrow society, so, they cannot choose kirves from their own society for not to prevent marriages from inside.

Another tradition in Yezidi society is the application of man and woman equality. The Yezidi woman are free to join men's conversations and answer any kind of question or talk about her opinions. The most important difference which distinguishes the women in Yezidi religion from the ones in other religions is the long, white underwear which all the woman had to wear always after maturity.

For the guests who will stay at night, they prepare beds which are surrounded with shawles. Also, immolation for the guests is an obligation. During they are preparing food for their guests, the cooked head of the sacrificial animal is put in front of the oldest person. People do not eat anything before the oldest one offers them. After meal, a young boy or girl pours hot water to hands of guests and a white facecloth is given to them (Tori, 2000). According to Yezidis, the four elements of the universe are fire, water, air and soul. These are all holy for them but, especially, fire is the most important one. Because, fire is a component which clear away all kind of evil and dirtiness. If a fire is being reflected, it means there is a family who is living in the area. To die down of the fire is the evidence of a disaster for the family. They also give great importance to other elements. They believe that water is necessary for having a healthy body in a religious manner. Yezidis should not content with body cleaning, they also should try to be a good and clean human spiritually. A hearth-whole regret is imperative (Tori, 2000).

Baptism is another vital tradition in Yezidism. The newborn is baptized with spring of water of Lalesh that is regarded as sacred by Orthodox Greeks. If the child's village is far away from Lalesh, he or she is baptized with water which is mixed with a little amount of soil from Sheik Adiy's tomb. In some Yezidi villages, they do not wait forty days for baptism. Just after a week from birth.

Lastly, their funeral rites are commanded by Sheik of the village. A piece of soil from Sheik Adiy's tomb is scattered to dead body's eyes, ears and mouth. Then, s/he is enshroud and buried. The tomb is dug towards east and the dead's head is emplaced to sun. Moreover, if the dead is man, a stone is put under his head. If it is woman, stone is put both under her head and nadir. Just before the tomb is closed, a piece of cheese and bread are left here. Yezidis sometimes leave here deceased's favourite belongings if s/he is from an upper class (Sever, 1996).

Furthermore, there are forbidden things in Yezidi tradition. These prohibitions could be grouped into different titles:

- **Foods:** They are strictly forbidden to eat lettuce and cabbage. They think that these vegetables are raising into dirt. According to the legend, one day Sheikh Adiy was returning from Baghdad, he saw a lettuce in dirt and ordered it to leave here. But, it did not. Upon this, he spit on it and said that I forbade Yezidis to eat lettuce. In addition, the Yezidi sheiks also forbade similar vegetables.
- **Clothing:** They are forbidden to wear blue clothes. Also, wearing white is a deed.
- **Shave and Haircut:** In Yezidi tradition it is illicit to cut beard and hair. Only it could be cut with scissors if it is necessary. But, the religious leaders are certainly forbidden to shaving or haircutting.
- **Literacy:** In the Yezidi community, it is forbidden to read or write except one person in each village. Because, if Yezidi people are informed to Yezidism, some philosophical theories will be come into the open. So, religion will be divided into different sects and it will be damaged. In order to prevent this possibility, it is banned to read or write for people.
- **Places:** According to Yezidi belief, bogs and hammams are the places of evil. So, to enter these places is forbidden. They relive themselves wherever they find. This is never seen as an unethical behaviour, in contrast they welcome it.
- **The Forbidden Words:** They do not say the words which include “Ş, L, H” letters.
- Additionally, they do not load horses and mares with sumpter. Also they do not take a bath because of impure after sex (Bilge, 2002).

There are certain classes in Yezidi society which include chiefs and reverends. They all have special privilages, spiritual talents and specific positions. These qualifications are hereditary.

1. *Mir-i Şeyhan:* He is the spiritual and physical leader of all Yezidis. Also, he is a prince. Once, this duty was belonged to Sait Beg, Bin Ali Beg and Ibn-i Hüseyin Beg. Yezidis” obedience to the beg is peremptory. He is the one who legislates for religious matters, defends the suit or alleviate the hostilities and arrange the marriage agreements. According to Yezidis, Beg is a certain prophet. They accept him as the deputy of Sheik Adiy, so obedience is a religious duty. Lasty, this duty is reserved for a definite family.

2. *Fakir*: Fakir is the certain deputy of Mir-i Şeyhan. He notifies religious orders and commands the posterior leaders. His most important responsibility is to bring together Yezidi boys and girls for a practice on laying “def”. Also, he teaches them the religious dances.
3. *Koçek*: His main job is to shroud corpses and bury them. After, he invokes for incultation and discovers their spirits.
4. *Pir*: It is a spiritual or clergy class. He guides in funerals and ritual worships. Also, they are responsible for fasting and breaking it.
5. *Sheiks*: These people are also spiritual leaders. They are divided into two groups as “edani” and “katani”. Yezidi disciples give them alms. They obey them. Also, Sheiks are in charge of emirs.
6. *Kawal*: They play “def” and sing. Also, they praise God and angels with religious eulogies.
7. *Imam*: Imam comes after Kawal. Their duty is to teach children praying and religious matters. They also tell disciples their responsibilities.

All of these classes have to be from specific families. Any Yezidi cannot be a

member of any of these classes even if he has excellent merits (Bilge, 2002).

Yezidis live in North Iraq, Armenia, Caucasia and Eastern Anatolia. But the holy places where they live in is Mosul’s two provinces which are Şeyheyn and Sincar. Their centre is the village of Baadri. The Yezidi population in this region is about thirty thousand. They were more than that in the past. But, factors like political events, general murders and marriage with other nations reduced the Yezidi population.

The distribution of Yezidi population to world is mainly, three millions in Russia, three millions in India, one million in Iran, one million in Iraq, one million in Yemen, one million in Himalayas, five hundred thousand in Azerbaijan, fifty thousand in Turkey and fifty thousand in Syria (Erk, 1966 and Bilge,2002).

In addition, Yezidis live in Tiflis, Erivan; Aleppo; Beşiri, Kurtalan, Batman (Siirt); Midyat, Savur, Nusaybin (Mardin); Viranşehir, Ceylanpınar, Suruç (Urfa); Çınar, Bismil (Diyarbakır); Gaziantep and Kilis. In these days,

Yezidis migrate to Ankara, Istanbul, Izmir Antalya, Isparta. Also, some of them went to Germany, France and other European countries to work. Their population in the beginning of 20th century was 60.000- 70.000. But, it was between 120.000- 150.000 just before a century. According to Census of 1912 in the Ottoman Empire, their population was 37.000 in six provinces (Islam Encyclopaedia, “Yezidiyye”).

It is clear that these data are overestimated (Beysanoğlu, 1988).

According to a computation which belongs to a journalist author, the distribution of Yezidi population is as follows:

- Southern Anatolia (Turkey): 60.000- 70.000.
- Iraq: 400.000.
- Syria: 200.000.
- Azerbaijan: 80.000.
- European Countries: 125.000- 150.000 (Öztemir, 1988).

The well known Yezidi tribes and their clans could be line up in the following:

- In Sincar: *Xwarikan, Ciwana ( Qiran, Semuqa, Heskan, Mala Daxi, Celka, Çelekan, Feqiran, Musata, Cifriyan, Heliqiyen, Huweyriyan, Kurkurika, Mendikan, Reşikan, Şarqiyen and Hebabat, Mehrikan, Mala Xalita).*
- In Şeyheyn: *Bastki, Belesini, Beydayi, Tırk, Hekkari, Xeyseki, Doski, Dana, Rubenişti, Tazi, Qaidi, Kerni, Mamosi, Heraqi, Ruzki.*
- In Borderline Areas: *Musane/ Musasan, Huveyriyan, Maski, Reşkan, Cilki, Heskenkeyfa, Belikan, Desikan, Şarqiyen, Dana, Sew”ani, Davudyan, Xalti, Bazfiyan, Reşa, Mehmudi, Erivan, Tiflis, Baku, Basa, Sahbiyan, Germiyan, Bapiran/ Şıkakan, Miran, Silifan, Serliyan, Şexanbegi, Kibaran/ Kibaryan, Cemaldina, Sipkan, Omaran, Besyan/ Basyan, Mamereş, Necinan, Qazalan, Yezidi, Cuheys, etc.*

Moreover, their most famous leaders are *Xıdır Mehemed Kâhya, Hemo Şiri, Xedide (son of Hemo Şiri), Xelef (son of Bin Nasır), Sefok, Davud Davud, Sheik Xıdır (son of Eto)* (Bulut,2002).

## CONCLUSION

When trying to sum up it would be useful to understand the perceptions to Yezidism. Probably, there is not any other factor than satan or devil worshipper image that has influenced the perceptions in the Middle East and in the West. In the past, there was an “open” hostility between Muslim communities and the Yezidis. There are different comments on this topic. On the one hand, for Western scholars, the phenomenon of devil-worship may have been blended with a romantic interest in this secretive but completely friendly group of “Oriental pagans”. So, this could be lead to rebirth of great ancient religions of Middle East against Islam (Kreyenbroek, 1995). On the other hand, the founder of Islam, the Prophet Mohammed defined himself as the first Islam prophet who is sent only for the Arab nation. Interestingly, just before a short time from this definition, he showed himself as the prophet who was responsible for warning the people from Kureysh tribe in Macce. After a while, he was the prophet of Arabians completely. Moreover, when he was the prophet of Arabians, after gaining power, he decided to be an “universal” prophet. So, he tried to force to submit both the Jews and Christians with the support of the Holy Qur’an versus:

- *Al-i Imran:*

*19. The religion before God is Islam(submission to His Will):*

*Nor did the People of Book dissent there from except*

*Through envy of each other;*

*After knowledge had come to them.*

*But if any deny the Signs of God, God is swift in calling to account.*

- *Rum:*

*30. So set thou thy face*

*Steadily and truly to the Faith:*

*(Establish) God’s handiwork according to th pattern on which*

*He has made mankind:*

*No change (let there be)*

*In the work (wrought).*

- *Bakara:*

135. *They say: "Become Jews  
Or Christians if ye would be guided  
(To salvation). "Say thou:  
"Nay! (I would rather) the Religion  
Of Abraham the True,  
And he joined not gods with God.""*

136. *Say ye: "We believe  
In God, and the revelation  
Given to us, and to Abraham,  
Isma'il, Isaac, Jacob,  
And the Tribes, and that given  
To Moses and Jesus, and that given  
To (all) Prophets from their Lord:  
We make no difference  
Between one and another of them:  
And we bow to God (in Islam) (translation and commen-  
tary, A. Yusuf Ali).*

As it is mentioned in the versus, it is obvious that Muslims think that they are in the true line of the ones who follow Message of the One God wherever delivered. If "others" narrow it or corrupt it, it is they who have left the faith and created a division or schism. But, God sees and knows all. And he will protect His own, and His support will be infinitely more precious than the support which men can give. In fact, the demand for authority is not restricted with these perspectives. Because, Islam do not see any obstacle to walk over the "different" ones with also by *Sheri'ah* beside the Holy Qur'an versus. It can be seen clearly within the concepts of conquest and holy war. So, the offense of Yezidism is nothing than only to be different from Islam. They tried to make Yezidis tergiversate to Islam and during this time, Yezidi and Kurdish Yezidi blood was shed.

In spite of all pressure and inhibitions, Yezidism appeared as a science in the West. In 1850, Dr August Neander who was a lecturer in Berlin University joined a meeting in Prussian Science Academy. After his speech text was published, Yezidism was accepted as a science. Then, French

Societe Asiatique published a booklet which was collected from Yezidi sources. The interest of some Western Orientalists to Yezidis and the analysis of Yezidi texts which were found in bouquinistes explained the Yezidi religion in a clear way (Sever, 1996).

Nowadays, Yezidism is transformed with the influences of the time and losing of written sources. As a matter of fact that they affiliate with Islam. They focus on saying of Allah under the name of “hüda”. They believe that God is sole and the Archangel Peacock is one of his biggest angels (Başbuğ, 1987). Also, their opinions of literacy started to be changed. There are lots of schools in Yezidi villages in Turkey. Also, they begin to take the advantages of civilization tools like radio, television, phone etc with the coming of electricity to their home. The Yezidi families no more give importance to the prohibition of reading and writing, so they send their children o school. Also, there is an increase on the number of young people who have higher education. There are Yezidis who go to European countries to work (Beysanoğlu, 1988).

All of these processes and the atmosphere lead to awaking of Yezidi citizens and get away from their supersitions. Surely, they will continue to live as a cultured and civilized community in the near future.

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# **THE ROLE OF MATERNAL GATEKEEPING AND SPOUSAL SUPPORT ON FATHER INVOLVEMENT\***

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## **CHAPTER 10**

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## THE ROLE OF MATERNAL GATEKEEPING AND SPOUSAL SUPPORT ON FATHER INVOLVEMENT\*

Hilal KARABULUT<sup>1</sup>

### INTRODUCTION

Since Lamb (1975) indicated the fact that fathers are the forgotten contributors to child development, researches on father involvement in child development have rapidly increased. However, studies dedicated to father involvement in Turkey are relatively new and there are still incredible gaps in the literature regarding the role of father involvement. Thus, the concepts highlighted in this study such as the role of spousal support, and maternal gatekeeping which is a new concept in Turkey and the analyses regarding father involvement will substantially contribute to the field.

### Father Involvement

Father involvement stands out as a concept on which there has been no common and clear definition by researchers (Parke, 2000; Cabrera & Bradley, 2012). Namely, it is right to say that father involvement is subject to different definitions (Lamb, 2000) and is evaluated from different dimensions (Cabrera, Fitzgerald, Bradley & Roggman, 2007) and interpreted in various ways (Pleck, 2010). On the other hand, when we would like to define “father involvement” concept, we can mention mutual interactions between father and child (Cabrera et al., 2007), the availability of father, father’s candid attitude, father’s satisfaction from parenting, father’s parenting style and the financial support the father provides for his child (Downer, Campos, McWayne & Gartner, 2008). In other words, with the phrase “father involvement”, the participation of fathers in the lives of their children is expressed. The first conceptualization of father involvement is offered by Lamb and Pleck in the beginning of 1980s (Pleck, 2010) and father involvement is defined with three components. These three components are “*interaction/engagement*”, “*accessibility*”, and “*responsibility*” presented below:

-“*Interaction/engagement*” refers to caregiving, direct contact with the child through plays and leisure time activities (Pleck, 2010). To put it another way, it is a shared interaction with the child (Cabrera et al., 2007).

-“*Accessibility*” refers to the presence of father and being accessible to the child.

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-“Responsibility” refers to the plans regarding child care and the arrangement of the resources to be available for the child (Cabrera et al., 2007).

### **Father Involvement and Its Impact on Children**

There are important findings about the impacts of father involvement on children. For example Kuzucu and Özdemir (2013) determined that nurturant fathering had positive, significant correlations with life satisfaction and general self worth of adolescents and found that father involvement is the predictors of adolescent’s positive mental health indicators such as self perception and life satisfaction. In addition to that, their study revealed that nurturant fathering had negative correlation with aggression and also depression, and that father involvement is the predictors of adolescent’s negative mental health such as aggression and depression.

Amato and Rivera (1999) showed that fathers’ positive father involvement had negative, significant correlations with their children’s behavior problems. The review of Downer et al. (2008) revealed that father involvement was associated with children’s academic outcomes, also with children’s socioemotional outcomes. Another study found that perceived paternal involvement was associated with the psychological well-being of adolescents such as happiness (Flouri & Buchanan, 2003). Easterbrooks and Goldberg (1984) determined that father involvement was related to child development in toddlerhood. As above-mentioned, father involvement is associated with a great deal of outcomes about children.

### **Father Involvement and Its Determinants**

It is seen that there are a great number of factors concerning father involvement which have crucial impacts on child development (Cabrera & Bradley, 2012; Cabrera, Tamis-LeMonda, Bradley, Hofferth & Lamb, 2000; Downer et al., 2008; Kuzucu & Özdemir, 2013; Schaffer, 1996; Zeybekoğlu, 2013). It is stressed that the relations between these factors are relatively less analyzed together (McBride, Schoppe, Ho & Rane, 2004). Yet, it is highlighted that multi-faceted approaches are important to comprehend “father involvement” concept (Parke, Dennis, Flyr, Leidy & Schofield, 2005). With the help of these multi-faceted approaches, father involvement can be evaluated in terms of contextual factors, determinants and outcomes of involvement (Cabrera et al., 2007). The analysis of father involvement based on different factors will provide us extensive knowledge to see the conditions in which fathers can contribute to the lives of their children. Thus, both the opportunity for a better assesment of fathers will be provided and a road map for the further studies on this topic

will be presented. In this study, two significant factors concerning father involvement will be addressed: maternal gatekeeping and spousal support.

When we glance through the factors on father involvement, we observe that many researchers have studied on various categories and common factors appear among these studies. When the model of Belsky (1984), which determines the factors of parenthood is closely studied, it is seen that father characteristics, child characteristics, father-child relations, marital relationships, social networks and professional experience directly influence fatherhood. Thus, the determining factors of fatherhood affect both the functions of fatherhood and the child development. Parke (1995) also analyzes the factors associated with father involvement in many groups:

-“Individual Factors”: the quality of the relationship between the father and his own parents, parents’ attitudes, motivations and skills.

-“Family Factors”: mothers’ attitudes including maternal gatekeeping, marital relationships and father-child relations.

-“Changing Societal Conditions as Determinants of Father–Child Relationships”: timing of parenthood, work quality.

Lamb, Pleck and his friends also identify the factors associated with father involvement in their models. According to this model:

-“Motivation”: the degree to which fathers are eager to get involved with their children.

-“Skills and Self-Confidence”: actual physical skills and methods so as to be successful and influential for caregiving to the children.

-“Social Supports and Stresses”: the degree to which the social networks of fathers, primarily mothers support or hinder father involvement.

-“Institutional Factors”: the way how the workplace practices and policies have impact on father involvement (ref. McBride et al., 2004).

McBride et al., (2004) also examines the degree to which above-mentioned factors predict father involvement. While testing the validity of the model suggested by Lamb-Pleck, it has been established that feedbacks regarding “social supports and stresses” are the meaning determinants of father involvement. It is observed that fathers have more responsible behaviours and are more involved in the case that they experience less disagreement. Similarly, social supports and stresses have a great impact on

the appearance of new methods in the model. Parke et al. (2005) indicates the factors mentioned below as the predictors of father involvement:

-“Biological Factors”: hormonal changes starting from pregnancy period till the birth of the child.

-“Social Factors”: ecological determinants such as parents’ attitudes, marital relationship, father-child relations and job.

-“Cultural Factors”.

Cabrera et al., (2007) studies the below-mentioned factors as the predictors of father involvement in their model:

-“Father’s Rearing History”: the relations of fathers with their parents etc.

-“Cultural History”: race, ethnical origin etc.

-“Biological History”: psychopathology, alcoholism, depression, health etc.

-“Father Characteristics”: job, age, education, productivity, parenting style, attitudes, motivation, personality, job and religious activities etc.

-“Mother Characteristics”: job, age, education, fertility, health, mental health etc.

-“Contextual Factors”: mother-father relationship, economic situation, time, family planning behaviour, social connections.

-“Child Characteristics”: age, sex, temperament, inabilities etc.

As it is evident, the spouses of fathers, namely mothers have a great role in determining father involvement. Researchers absolutely touch upon the attitudes of mothers and their relations with the father in their studies. However, they discuss this matter in different categories. To illustrate, mothers are placed in the category of “family factors” while they feature in the category of “social supports and stresses” in some researches. Similarly, mothers appear as the figure affecting father involvement under the category of “social factors” and “contextual factors”. In summary, the fact that the relation fathers share with their spouses and the attitudes of spouses have great impact on father involvement is a critical point to be emphasized (Cabrera & Bradley, 2012; Makusha & Richter, 2016). Thus, since father involvement highly contributes to the lives of their children, the fact that fathers are backed by their spouses and they are subject to

maternal gatekeeping, which is particularly popular in the last two decades in the literature are the two crucial topics to be studied.

### **Father Involvement and Maternal Gatekeeping**

Firstly, maternal gatekeeping which is significant in terms of father involvement will be examined. Though the studies on maternal gatekeeping tend to increase, a lack of detailed studies is still apparent (Hauser, 2012). Maternal gatekeeping is relatively a very new concept to be studied and there are still substantial gaps regarding this topic in the literature. For instance, the first study on maternal gatekeeping in Turkey belongs to Karabulut and Şendil (2017), in which they adapt Maternal Gatekeeping Scale into Turkish. Subsequently, maternal gatekeeping concept appears in the doctoral dissertation of Karabulut (2017a) where father involvement and determinants of father involvement (father involvement of fathers' own fathers, paternal self-efficacy, maternal gatekeeping) are all examined in a model. Besides, maternal gatekeeping as a concept is also seen in the master thesis of Akgöz-Aktaş (2017).

Maternal gatekeeping stands as the obstacle for fathers to get involved in the lives of their children (Allen & Hawkins, 1999) and is also among the determining factors which influence father involvement mentioned above. Yet, it is stated that there is a limited number of studies on the definition of maternal gatekeeping concept (Fagan & Barnett, 2003) and there appears a necessity for a clear definition of this concept (Allen & Hawkins, 1999). Besides, maternal gatekeeping is expressed as the behaviour of mother which determines father involvement, even restricts father involvement into the lives of their children (Allen & Hawkins, 1999), thus damaging father and child interaction (Austin, Fieldstone & Pruett, 2013; Hauser, 2012). In other words, mothers consider childrearing activities as the matters of their own expertise and do not want to give up these responsibilities. Thus, they guide fathers in accordance with their own choices by restricting the fathers (Hawkins & Dollahite, 1997).

Some researchers note that maternal gatekeeping not only includes discouragement of fathers but also encourages fathers (Schoppe-Sullivan, Altenburger, Lee, Bower & Kamp Dush, 2015). Besides, in addition to “encouragement” and “discouragement” concepts, mother gatekeeping involves “control” behaviour of mothers (Puhlman & Pasley, 2013). However, since maternal gatekeeping is considered to obstruct father involvement at a great level in the literature (Parke et al., 2004), maternal gatekeeping is primarily emphasized as the factor which hinders father involvement (Puhlman & Pasley, 2013).

As it is evident that mothers, mother characteristics and maternal gatekeeping behaviour have a substantial impact on fathers' behaviours and father-child relationship (Cowan & Cowan, 1987; DeLuccie, 1995; Fagan & Barnett, 2003; Herzog, Umana-Taylor, Madden-Derdich & Leonard, 2007; Pedersen, Zaslow, Cain, Suwalsky & Rabinovich, 1987; Trinder, 2008; Tu, Chang & Kao, 2014). To illustrate, father involvement level is negatively affected when mothers have maternal gatekeeping behaviours and criticize fathers (Fagan & Barnett, 2003; Gaunt, 2008; Schoppe-Sullivan, Brown, Cannon, Mangelsdorf & Sokolowski, 2008; Tu et al., 2014). On the other hand, when fathers are subject to a lower level of maternal gatekeeping behaviours and mothers encourage fathers, higher level of father involvement is observed (Kulik & Sadeh, 2015; Schoppe-Sullivan et al., 2008). In the model study of Karabulut (2017) where the determinants of father involvement are examined and maternal gatekeeping in terms of father involvement is compared, it is established that maternal gatekeeping strongly influences father involvement.

### **Father Involvement and Spousal Support**

Now, in this study, another factor as important as maternal gatekeeping will be examined. It is seen that when contextual stress and support sources, particularly emotional investment are high between the spouses, the marital relationship is a crucial support system (Belsky, 1984; Dickie, 1987). Social support concept covers various behaviours such as advising and informing a person, providing emotional support, financial assistance, appreciating a person, helping a person to tackle with the problems, acting as a role model for a person (Yıldırım, 2004). Though emotional support is emphasized in many of the researches, esteem support, tangible support, informational support, network support are also stressed (Xu & Burlison, 2001).

It is possible to see other categorizations. For instance, support concept can be defined as "emotional support", "instrumental assistance" and "social expectations" (Belsky, 1984); it can also be mentioned as "emotional support", "cognitive support" or "agreement in caregiving, physical support" (Dickie, 1987). In Turkey, spousal support stands out as the concept with several dimensions such as "emotional support", "instrumental and information support", "appraisal support", "social companionship" and other general support dimensions (Yıldırım, 2004).

The definitions of different support dimensions are presented below:

-“Esteem Support”: to approve a person, to support one’s personality.

-“Tangible Support”: to provide material support and service to an individual in various subjects.

-“Informational Support”: to provide information and to give advice in a matter related with a person.

-“Network Support”: to renew a person’s belonging feeling and thus creating social networks (Xu & Burleson, 2001).

Other definitions of support dimensions are presented below:

-“Emotional Support”: love and respect from other people.

-“Instrumental Assistance”: to get information or to provide advice, to assist in daily tasks such as caregiving.

-“Social Expectations”: to guide a person for a proper behaviour (Belsky, 1984).

The types of spousal support summarized above and the lack of these supports perceived by fathers can obstruct father involvement (Lamb, 1986). However, father involvement is fostered when fathers are supported by their spouses. Owing to this support, fathers are also capable of being an adequate parent like mothers (Bouchard and Lee, 2000; Dickie, 1987; Türkoğlu & Gültekin-Akduman, 2015). It is stated that there is a positive relationship between the general support received by fathers and their parenthood towards their children and fathers with spousal support experience high level of self-adequacy for parenthood. These fathers become proud and satisfied to look after their children and thus, invest in childcare (Belsky, 1984; Berman & Pedersen, 1987; Dickie, 1987; Makusha & Richter, 2016; Türkoğlu & Gültekin-Akduman, 2015). When the feedbacks of fathers are analyzed, it seems that fathers consider themselves to be capable enough so as to realize their role as a father with spousal support (Makusha & Richter, 2016). Similarly, the research in Turkey demonstrates that spousal support has a substantial positive impact on father involvement (Karabulut, 2017b).

## **Discussion and Conclusion**

It appears that fathers encounter several challenges while they are more involved in namely, they participate more to the lives of their children. These challenges can be structural, cultural, personal and related with family. Mothers can also be evaluated as obstacles in particular in terms of maternal gatekeeping concept (Allen & Hawkins, 1999). Besides, it is known that with father involvement, there appear changes in the relations of

family members (Belsky & Volling, 1987). Thus, it will be more beneficial to assess the whole family system rather than examining a single relation in particular. When family is considered to be a system, it involves all family individuals and sub-systems. Since these individuals and sub-systems are in mutual interactions, it is highly possible that one affects the other or the other is influenced by another (Kulik & Tsoref, 2010). There are family members within this system who shape father-child relationship with their opinions and attitudes (Parke et al., 2004) and mothers draw attention with the level of impact on this relationship (Cowan & Cowan, 1987; Herzog et al., 2007). Regarding the impact of fathers and mothers on each other in terms of parenthood, the impact of mothers and the mother gatekeeping concept have a special place in both ecological approach and family system approach (DeLuccie, 1995; Fagan & Barnett, 2003; Trinder, 2008; Tu et al., 2014). The fact that whether mothers value father involvement, their expectations, attitudes, contentments are of utmost importance in terms of spousal support (DeLuccie, 1995; Makusha & Richter, 2016).

For a long time, fathers have been considered to be the economic and emotional support to the mothers rather than the parents who are backed by mothers. However, it has been established that fathers are influenced by marital factors much more than mothers. It is seen that fathers require more support in father-child relationship (Berman & Pedersen, 1987) and spousal support has a great role in the functionality of fathers. Besides, it has been proved that as parents, fathers benefit more from the emotional support in the relationships between the spouses. To illustrate, in the cases where high level of supports exist, there seems no difference. However, fathers perform less adequacy when they are subject to less support from mothers (Dickie, 1987). While the above-mentioned spousal support facilitates child-care investments of fathers, it also assists mothers by alleviating their responsibilities (Berman and Pedersen, 1987). While spouses supporting each other contribute to the lives of their children, they also enrich each other. In this way, the importance of spousal support is highlighted again for a healthy family (Yıldırım, 2004).

In accordance with all this knowledge, it is regarded that the level of father involvement is affected when mothers change both their thoughts on their roles and the expectations from their spouses regarding their fatherhood. The fact that especially mothers give chances to fathers to get involved in child related issues and accept that childcare is not only their responsibility, namely support fathers will have a positive impact on father involvement (Parke et al., 2005). Therefore, father involvement should be assisted by mothers for the well-being of individuals in the family system and mother gatekeeping behaviours should be reduced. In the future studies,

intervention programs in order to curb maternal gatekeeping behaviours and encourage father involvement should be designed. Simultaneous measurements from mothers and children and along with fathers can be made so as to identify the current situation. Furthermore, it is useful to carry out longitudinal research to clearly see the relationship between maternal gatekeeping and father involvement. One-way measurement only from mothers should not be taken into consideration since mothers who do not attach importance to father involvement, underreport father involvement and even are not aware of their maternal gatekeeping behaviours (Gaunt, 2008). In this respect, researchers Karabulut and Şendil (2017) in Turkey focuses on the perception of fathers regarding maternal gatekeeping behaviours to take a reliable measurement.

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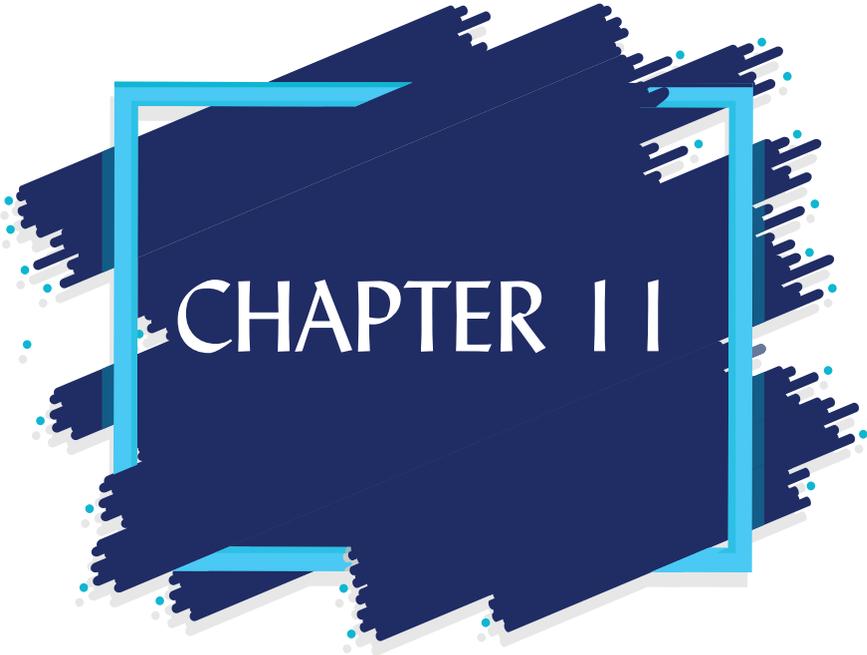
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# THE IMPACT OF USD/TL PARITIES AND OPEC OIL PRICES ON TURKISH BANKS' DEPOSITS

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## CHAPTER I I

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## THE IMPACT OF USD/TL PARITIES AND OPEC OIL PRICES ON TURKISH BANKS' DEPOSITS

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### 1. INTRODUCTION

Banking is a significant component of any economy and banking has significant intermediary function to stimulate any economy. Banks are important source of funds for any stakeholder. Banks have been lending to diverse sectors.

Compare to past, advanced financial econometric techniques has been applied to financial companies (**Alexander, 2004**). Financial risk management explained by the Basel Committee (2001) by four components: Credit, Market, Operational and other risks. By constructing risk models and utilizing data, those risks can be thwarted by senior management (**Alexander, 2004**). Because of deregulation, money flows led more intensified global markets (**Sverrisson and Van Dijk, 2000**). Systematic risk is asset value differentiation corresponding with systematic factors. It is sometimes defined as market risk, which is not precise (**Alexander, 2004**).

By its structure, this risk can be prevented; nevertheless can not be wiped out virtually. Systematic risk can be defined as undiversifiable risk. Operational, business and systematic risks have been more crucial for the owners of the high asset sized banking corporations, whose main objective is to diversify international resources in effective way (**Alexander, 2004**). Market risks and credit risks were most significant risks compare to other risks by financial econometric research. Nonetheless, crucial risk perceptions have been converting (**Alexander, 2004**).

**Adrian and Shin (2008)** indicated that financial market collapse and depreciation of financial instruments influenced the balance sheets of financial market members.

In that research, the objective is to find out the impact of USD/TL parity and OPEC oil prices on Turkish banks' deposits for the periods between 1970-2010 and 1980-2010. Since USD/TL parity and OPEC oil prices are significant component of global financial markets, those variables were chosen as independent variables. Moreover, out of sample forecasting will also be done in that research.

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## 2.LITERATURE REVIEW

It is unearthed that foreign exchange exposure has different influence on Chinese banks. Negative foreign exchange exposure has inverse relation with Chinese larger banks' performance. It can be interpreted that appreciation of the renminbi diminishes Chinese large banks' equity values. Larger banks have important proportion of asset in the Chinese banking industry; thus, that research finding indicated that it is probable that an appreciation of the renminbi can deteriorate the Chinese banking sector's performance. It is probable that an overvaluation of the renminbi will likely have an inverse impact on the bank profitability, and thus the equity values can diminish (**Wong, Wong, Leung, 2009**).

**Chamberlain, Sandra, Howe, and Popper (1995)** indicated that USA' banks' returns virtually moved in the same way with foreign exchange of dollar. That is, USA banks' returns rose in the case of dollar appreciation and deteriorates when it diminishes: It can be mentioned that U.S bank holding companies had "long" position in dollars.

As a policy implication, **Poghosyan, Hesse (2009)** suggested that Islamic countries' banks can use oil price boom advantage during economic downturns for lending.

**Poghosyan, Hesse (2009)** indicated that high oil price increased Islamic banks' liquidity. Nonetheless, when oil prices diminished from 140\$ per barrel, the diminished oil price has not only deteriorated Islamic banks performance; but also there was also adverse impact on conventional bank performances.

Utilizing 145 banks data in 11 oil-exporting MENA countries, aggregate influence of oil price shocks on banks' profitability analysed. The result showed that oil price shocks have indirect influence on bank performance, the direct effect was found insignificant (**Poghosyan, Hesse, 2009**).

## 3. THEORETICAL FRAMEWORK

**Systematic risks** are derived from market forces and can not be eliminated. Political risks, currency risks, consumer purchasing power risks can be given as example for systematic risks. Moreover, macroeconomical factors can also be given as example to systematic risks. As it is known, Opec oil prices have significant impact on global economy. When oil price rises, there are winners and losers. If oil price rises, oil rich countries will have more funds to invest overseas.

According to **Mundell Fleming theory**, impossible trinity occurs between free capital flow, fixed exchange rate and sovereign monetary policy. After 2001 banking crisis in Turkey, Turkey's Central Bank embarked floating exchange rate policy. When Turkey had fixed exchange rate policy, Turkey had free capital flow but Turkey did not have sovereign monetary policy. Because Turkey used monetary policy to maintain fixed exchange rate regime. After Turkey adopted floating exchange rate regime, Turkey had more free capital flow. With free capital flow, due to the high interest rates, demand to Turkish lira has increased; and Turkish lira has appreciated. That caused financial system deposits to increase in Turkey. Although Turkey adopted floating exchange rate regime, Turkey still do not adopt sovereign monetary policy. Because Turkey is small open economy; the economy is mainly depend upon international money inflows. boom cycle. That systematic risk example can increase global liquidity and leads banks to take more foreign deposits. Moreover, when oil prices profit rises, Arab sheikhs' incomes also rises. That circumstance can lead Arab sheiks to administer new firms and to have more partnership with other global firms. In addition to that, when oil prices augment, Arab Sheikhs and other oil traders can send their deposits to foreign banks. Since Turkey economy has higher interest rate than many countries' interest rates, investors can purchase treasury bills and deposit their money to Turkish banks and even can be shareholder of the banks.

According to **interest rate parity theory**, if one currency' interest rate is higher than other currency' interest rate, that currency having higher interest rate will depreciate against the other currency that have lower interest rate. Since Turkish lira's interest rate is higher than USA dollar's interest rate, Turkish lira will depreciate against USA dollar. That circumstance will have repercussion on Turkish banking sector. Since Turkey do not have fixed exchange regime, and assuming USA dollar's interest rate is lower than Turkish lira interest rate in long time period, Turkish banks have to get long position in USA dollar in order to not face with liquidity risk. Assuming that global interest rate rises, in that circumstance, Turkey's central bank has to increase political interest rates to compensate international currency outflows and increase international currency inflows with more higher interest rates. The BoP (Balance of Payment) curve will move upward and there will be capital flows to other countries that are having higher interest rates. The central bank will buy home currency and sell foreign currency to preclude financial crisis in Turkey. Due to the volatility of global interest rates, interest rates can diminish across the globe, in that circumstance, Bop (Balance of Payment) curve will move downward; central bank will sell domestic currency and buy foreign currency. Opec oil prices indicate the health of global economy and are an important components of systematic

risk. During the global financial crisis (2008), oil prices fell abruptly. If global economy is in good position, OPEC committee increases oil prices to get the income share from the global economy. That means business cycle went into boom cycle. That systematic risk example can increase global liquidity and leads banks to take more foreign deposits. Moreover, when oil prices profit rises, Arab sheikhs' incomes also rises. That circumstance can lead Arab sheiks to administer new firms and to have more partnership with other global firms. In addition to that, when oil prices augment, Arab Sheikhs and other oil traders can send their deposits to foreign banks. Since Turkey economy has higher interest rate than many countries' interest rates, investors can purchase treasury bills and deposit their money to Turkish banks and even can be shareholder of the banks.

#### 4. DATA DESCRIPTION

**1)USD/TL Parity:** It indicates about how much Turkish lira equals to 1 USA dollar. USD/TL parities were retrieved from St.Louis Federal Reserve Database.

**2)OPEC Oil Prices:** OPEC oil prices are determined by OPEC members. Opec oil prices were retrieved from Statista.

**3)Turkish Banks' Deposits:** That deposits indicate Turkish banks' aggregate deposits. Turkish banks' deposits were retrieved from Global Financial Development Database.

### 5. METHODOLOGY

#### 5.1 VAR Granger Causality Analysis of Turkish Banks' Deposits (1970-2010)

<b>Table 1. VAR Granger Causality/Block Exogeneity Wald Tests</b>			
Date: 07/08/15 Time: 20:31			
Sample: 1 42			
Included observations: 38			
Dependent variable: D(DEPOSITS)			
Excluded	Chi-sq	Df	Prob.
D(TLUSD)	8.477739	2	0.0144
D(OIL(-1))	6.129440	2	0.0467
All	12.40198	4	0.0146

According to Table 1, it can be indicated that USD/ TL parity and first lag of oil price is significant predictor of Turkish banks' deposits between 1970-2010.

## 5.2. Impulse Response Analysis of Turkish Banks' Deposits (1970-2010)

**Table 2.** VAR Lag Order Selection Criteria

Endogenous variables: D(DEPOSITS) D(TLUSD) D(OIL(-1))

Exogenous variables:

Date: 07/08/15 Time: 20:56 Sample: 1

42

Included observations: 35

Lag	LogL	LR	FPE	AIC	SC	HQ
1	-179.6410	NA	9.651551*	10.77948	11.17943*	10.91755*
2	-170.5396	15.08227	9.682483	10.77369*	11.57359	11.04982
3	-167.6432	4.303318	14.07298	11.12247	12.32231	11.53665
4	-161.5244	8.041789	17.46667	11.28711	12.88690	11.83935
5	-156.7555	5.450144	24.35408	11.52889	13.52862	12.21919

\* indicates lag order selected by the criterion

LR: sequential modified LR test statistic (each test at 5% level) FPE: Final prediction error

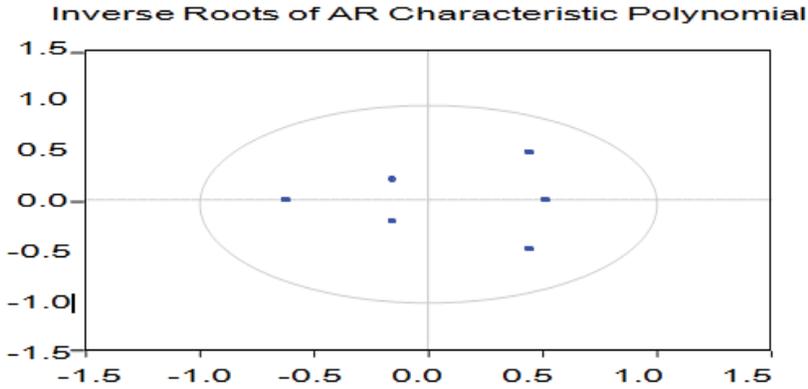
AIC: Akaike information criterion SC: Schwarz information criterion

HQ: Hannan-Quinn information criterion

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**According to Table 2 result, lag 1 was chosen for VAR application.**

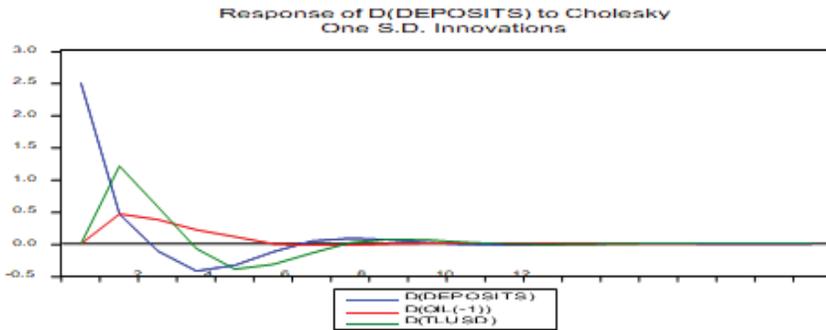
**Figure 1.** ARMA Polynomial Root Graph



VAR stability test had conducted; at Figure 1, since dots are inside the circle; it can be indicated that there is no stationary problem in VAR analysis. Impulse response analysis was conducted.

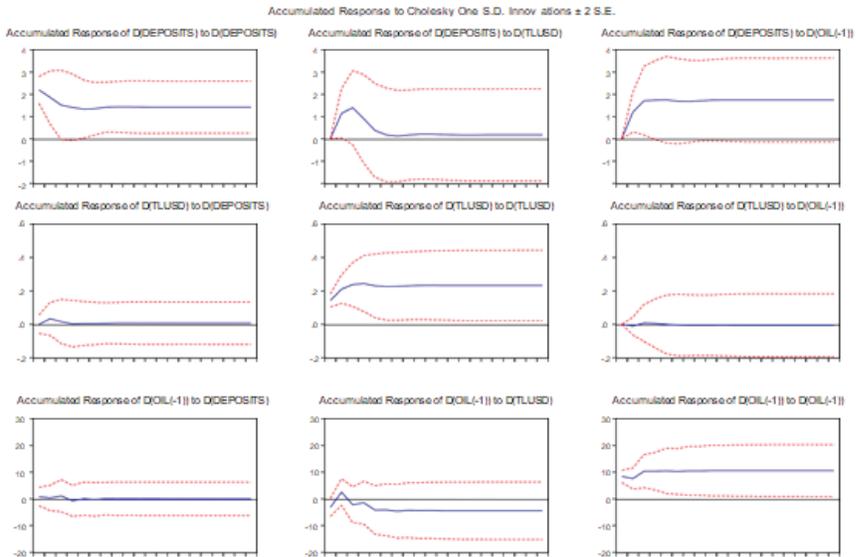
Figure 2. indicates that with optimal lag 1, shock of USD/TL and shock of first lag of OPEC oil price increased Turkish banks' deposits between 1970-2010.

**Figure 2.** Impulse Response Analysis of Turkish bank's aggregate deposits(1970-2010)



### 5.3. Impulse Response Analysis of Turkish Banks' Deposits (1980-2010)

Figure 3. Impulse Response Analysis(1980-2010)



With optimal lag length of 1, one standard deviation shock of USD/TL parity and one standard deviation shock of first lag of OPEC oil prices increased Turkish banks' deposits between 1980-2010.

### 5.4. Generalized Method of Moments

Financial time series can have autocorrelations and that circumstance can lead spurious result and can manifest an endogeneity problem. In order to minimize endogeneity problem, GMM technique will be implemented. Different kinds of GMM methods were applied. In sampling analysis had been done.

Table 3. GMM Methods RMSE Scores

GMM Methods Errors Comparison	RMSE
GMM-TSLS	5.59
GMM-White	7.24
GMM-HAC	5.61

Table 3 indicates that the lowest root mean square error was found in GMM- TSLS methods. Therefore, GMM-TSLS method will be chosen to conduct the analysis. According to GMM-TSLS analysis (Table 4), Since J- statistic p value is more than 0.05, there is no overidentification problem. AR(1) is significant and AR(2) is non-significant.

Therefore, serial correlation requirement was validated. Moreover, since Durbin Watson value is close 2, there is no autocorrelation in GMM-TSLS model. Instrumental variables were added to analysis. Two dummy variables were used for 2 crisis period. One dummy variable indicates Turkish banking crisis in 2001. Other dummy variable indicates global financial crisis in 2008. Year of 2009 was also taken as crisis year. One dummy variable was used for Justice and Development Party existence. Financial system deposit inflows, domestic credits to consumers, Turkish banks' assets to GDP ratio, private credits were also determined as instrumental variables.

**Table 4.** *GMM-TSLS Analysis*

Variable	Coefficient	Std. Error	t-Statistic	Prob.
D(DEPOSITS(-1))	0.485794	0.195419	2.485912	0.0219
D(OIL)	-0.043422	0.049028	-0.885649	0.3863
D(OIL(-1))	0.145155	0.051473	2.820001	0.0106
D(TLUSD)	7.580151	3.536541	2.143380	0.0446
D(TLUSD(-1))	-3.599712	3.896391	-0.923858	0.3666
AR(1)	-0.733438	0.250643	-2.926222	0.0084
AR(2)	-0.401933	0.233227	-1.723355	0.1003
R-squared	0.226336	Mean dependent var		1.085154
Adjusted R-squared	-0.005764	S.D. dependent var		2.591041

S.E. of regression	2.598498	Sum squared resid	135.0438
Durbin-Watson stat	2.126289	J-statistic	19.78048
Instrument rank	20	Prob(J-statistic)	0.100821
Inverted AR Roots	-.37-.52i	-.37+.52i	

It can be indicated that, USD/TL parities and first lag of OPEC oil prices had significant positive impact on Turkish banks' deposits between 1980-2010.

### 5.5. Out of Sample Forecasting

In order to forecast between 1980 and 2021, Holt-Winters exponential smoothing technique was applied to Turkish banks' deposits, OPEC oil price and USD/TL parity. Holt-Winters exponential smoothing technique adjusts in-sample data according to latest data. After data have adjustment, OLS method was applied to new data set. It has been found that between 1980-2021, USD/TL parity do not have significant impact on Turkish banks' deposits. OLS method was applied again. Since forecasting of Holt-Winters adjusted data was applied with the first lag of dependent variable, data have trend structure. Thus, @trend variable was placed into both methods. If @trend data were insignificant, it was removed. **It was found that with significant coefficient of @trend constraint, between the period of 1980-2021, first lag of OPEC oil price has significant positive impact on Turkish banks deposits.**

**Table 5. OLS Method I**

Dependent Variable: DEPOSITS

Method: Least Squares

Date: 07/16/15 Time: 14:51

Sample (adjusted): 1981  
2021

Included observations: 41 after adjustments

Variable	Coefficient	Std. Error	t-Statistic	Prob.
C	1.189582	0.957202	1.242770	0.2216
DEPOSITS(-1)	0.963336	0.049987	19.27155	0.0000
TLUSD	1.583731	1.028221	1.540263	0.1318
R-squared	0.986471	Mean dependent var		36.47959
Adjusted R-squared	0.985759	S.D. dependent var		18.47885
S.E. of regression	2.205168	Akaike info criterion		4.489840
Sum squared resid	184.7851	Schwarz criterion		4.615223
Log likelihood	-89.04172	Hannan-Quinn criter.		4.535498
F-statistic	1385.418	Durbin-Watson stat		2.042266
Prob(F-statistic)	0.000000			

**Table 6. OLS Method II**

Dependent Variable: DEPOSITS

Method: Least  
SquaresDate: 07/16/15  
Time: 14:50Sample (adjusted):  
1981 2021

Included observations: 41 after adjustments

Variable	Coefficient	Std. Error	t-Statistic	Prob.
C	2.575369	0.842403	3.057171	0.0041
DEPOSITS(-1)	0.688461	0.083511	8.243982	0.0000
OIL(-1)	0.096355	0.024331	3.960185	0.0003
@TREND	0.231143	0.082347	2.806920	0.0079
R-squared	0.990494	Mean dependent var		36.47959
Adjusted R-squared	0.989723	S.D. dependent var		18.47885

S.E. of regression	1.873292	Akaike info criterion		4.185739
Sum squared resid	129.8412	Schwarz criterion		4.352917
Log likelihood	-81.80765	Hannan-Quinn criter.		4.246616
F-statistic	1285.078	Durbin-Watson stat		1.884805
Prob(F-statistic)	0.000000			

Cusum test was applied for the coefficient of first lagged oil price and first lagged of Turkish banks' deposits model and @trend variable. It was found that coefficients were stable between 1980 and 2021. It can be interpreted that independent variables' coefficients do not have structural break between 1980-2021.

## 5.6.ARD L MODEL

ARDL model was implemented to validate the out-of sampling analysis. ARDL model was used to unearth the long term relationship between Turkish banks' deposits, oil prices, USD/TL parity. In ARDL model, data have not to be stationary. In addition, different orders such as I(0), I(1) can be used to detect long term relationship. Before embarking ARDL model, optimal model selection has to be done. Most optimal ARDL(p,q,r) model will be chosen. Among 20 models, because of lowest AIC score, ARDL(1,2,2) will be chosen. After implementing ARDL(1,2,2) model, ARDL bounds test has to be validated.

Table 7.ARD L Bounds		
Date: 11/29/15 Time: 11:29		
Sample: 1982 2010		
Included observations: 29		
Null Hypothesis: No long-run relationships exist		
Test Statistic	Value	K
F-statistic	7.689602	2
Critical Value Bounds		
Significance	I0 Bound	I1 Bound
10%	4.19	5.06
5%	4.87	5.85
2.5%	5.79	6.59
1%	6.34	7.52

At ARDL Bounds Test, F statistics of ARDL(1,2,2) model surpassed the threshold values of critical value bounds. After that step, ARDL Cointegrating and Long Run Form Analysis (Table 8) will be done.

Table 8.ARD L Cointegrating And Long Run Form				
Dependent Variable: DEPOSITS				
Selected Model: ARDL(1, 2, 2)				
Date: 11/29/15 Time: 11:30				
Sample: 1980 2010				
Included observations: 29				
Cointegrating Form				
Variable	Coefficient	Std. Error	t-Statistic	Prob.
D(OIL)	-0.008188	0.042413	-0.193062	0.8489
D(OIL(-1))	-0.126801	0.048573	-2.610499	0.0167
D(TLUSD)	2.375393	3.374463	0.703932	0.4896
D(TLUSD(-1))	5.952874	3.576462	1.664459	0.1116
D(@TREND())	0.387754	0.122133	3.174856	0.0048
CoIntEq(-1)	-0.761471	0.164456	-4.630248	0.0002
CoInteq = DEPOSITS - (0.2271*OIL + 3.0661*TLUSD + 10.0882 + 0.5092				
*@TREND )				
Long Run Coefficients				
Variable	Coefficient	Std. Error	t-Statistic	Prob.
OIL	0.227096	0.033846	6.709679	0.0000
TLUSD	3.066065	1.872527	1.637394	0.1172
C	10.088214	1.489476	6.772995	0.0000
@TREND	0.509217	0.141102	3.608855	0.0018

According to ARDL Cointegrating and Long Run Form Analysis (Table 8), cointegrating equation variable is significant and negative. That means, there is long term relationship between variables. In addition, it can be indicated that there is long term relationship between, Opec oil prices and Turkish banks' deposits. In the future, according to ARDL model, when OPEC oil prices rises 10 % , Turkish banks' deposits will grow by 2.27096%. That means, oil resource rich countries will invest in Turkish banking system. Banks in Turkey can get substantial amount of oil money. Moreover, GMM-TSLS methodology unearthed that the short term impact coefficient is 0.145155. According to ARDL(1,2,2) model, long term coefficient 0.227096. It can be interpreted that in the long term, OPEC

oil prices can be more important for the augmentation of Turkish banks' deposits. Nevertheless, there is no long term relationship between USD/TL parity and Turkish banks' deposits. That circumstance derived from high volatility of USD/TL parity.

## CONCLUSION

For the periods of 1970 and 2010 and 1980 and 2010, impulse response analysis and variance decomposition analysis was conducted. According to impulse response analysis, when one standard deviation positive shock applied to USD/TL parity and first lag of OPEC oil prices, Turkish banks' deposits increased. That analysis corresponds with GMM-TSLS method. Moreover, for impulse response analysis, the shock effect of the first lag of OPEC oil price on Turkey bank's deposits is more than than the shock effect of USD/TL parity on Turkish banks' deposits within the period of 1980-2010.

Moreover, OLS-out of sampling test had been implemented for the period of 1980- 2021. USD/TL parity significance for Turkish banks' deposits lost and OPEC oil prices can still forecast the change of Turkish banks' deposits until 2021. According to ARDL model, there is long term relationship between OPEC oil prices and Turkish banks' deposits. In addition, it was found that there is no long term relationship between Turkish banks' deposits and USD/TL parity.

Bank risk management departments should watch the oil price changes to increase liquidity. Because oil price shows global health of economy. If oil prices rise, Turkish banks' deposits augment, If there is positive shock on oil prices, Turkish banks' deposits increase fast. Turkish banks have to attract oil resource rich countries' investors. By taking substantial deposit from petrodollar investors, they can finance new real estate and energy projects.

Turkish banks are mainly dependant upon short term deposit rates. Therefore, Turkish banks can have difficulty to finance long time projects. In order to minimize that problem, banks can have partnership with oil reserve owners and investors who have substantial amount of American dollar deposits.

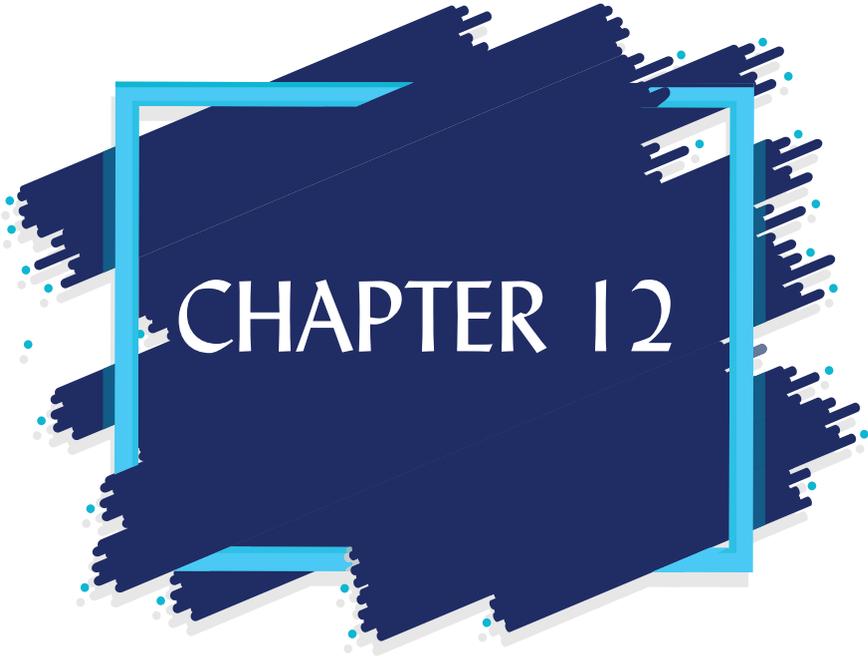
**Note: That research derived from PHD Thesis Titled “THE IMPACT OF NON-INTEREST INCOME AND MACROECONOMIC FACTORS ON BANKS’ PROFITABILITIES AND DEPOSITS”, THESIS SUPERVISOR: PROF.DR.TARGAN ÜNAL, OKAN UNIVERSITY SOCIAL SCIENCE INSTITUTE, DECEMBER 2015. That research was also presented at ICOAEF 2019 Kyrenia-North Cyprus conference.**

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# SOMETIMES ARCHITECT SOMETIMES CONTRACTOR: GUGLIELMO SEMPRINI AND HIS BUILDING IN BEYOGLU

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## **SOMETIMES ARCHITECT SOMETIMES CONTRACTOR: GUGLIELMO SEMPRINI AND HIS BUILDING IN BEYOGLU**

**Mehmet Çağlayan ÖZKURT<sup>1</sup>**

### **1. INTRODUCTION**

The 19<sup>th</sup> century is an era in which the Ottoman Empire experienced change and transformation in lots of different areas particularly as the economics, politics and culture. In the mentioned period in question, particularly following the Imperial Edict of Reorganization (Tanzimat Fermanı) which is announced in the year 1839, the transformation had become much more obvious and architecture was one of the areas which are affected by this situation.

The organization of the Specialized Union of Architects (Hassa Mimarlar Ocağı) which was the “classical period institution” which started to lose its function with the empire began not to organize and fulfill the constructional activities as expected. However, that period, as we have repeatedly stated, was an era of change and transformation. The new requirements which are brought with the reorganization reforms caused the formation and appearance of the new governmental organizations and private organizations in compliance with the Western model such as the jails, banks, post offices, hotels, theaters, embassy buildings, passages and transportation structures etc. and naturally the need for the new service buildings appeared for such organizations and institutions as well. As it is stated above, the Specialized Union of Architects which had met the structural needs by means of continuing its activities within the master-apprentice relationship for long centuries in the Ottoman Empire stayed quite far from meeting such new architectural expectations. The solution which is applied in order to meet the mentioned need was to make application to the Western foreign architects and, starting from the mids of the 19<sup>th</sup> century, a foreign architecture rush started towards Istanbul. Apart from this general situation, another concrete development which caused the application of the support and assistance of the Western foreign architects for the purpose of improvement of the Pera region which contains a great foreign and Levantine population in Istanbul in particular

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was the Fire of Beyoğlu<sup>2</sup> which occurred on the date 05<sup>th</sup> June 1879 and the massive destruction which is caused by this fire. Following the above-mentioned fire which made lots of structures useless means of spreading to considerably wide area, one of the architects who came to Istanbul which was the capital of the Ottoman Empire was Italian Guglielmo Semprini.

## 2. About his Life, Professional and Personal Characteristics

Guglielmo Semprini who was born in Croce which takes part in Romagne area of Italia in the year 1841 (P.1) came to Istanbul following the Fire of Beyoğlu which occurred on the date 05<sup>th</sup> June 1870 and then had the opportunity to make and perform numerous applications through his continuous works. The most important resource which provided the information concerning the professional life and personal characteristics of Semprini is the publication of Angiolo Mori dated 1906 which presents some information about the Italian colony in Istanbul.<sup>3</sup> Mori states in this work that Semprini whom he considered as “self-made man” reached the significant position as a result of his intensive works beginning from quite humble opportunities and one of his works is most probably encountered in each street of Istanbul.<sup>4</sup>

This work of Mori who is in the position of the most important resource that provides the most authentic information about Semprini gives information not only about his professional qualifications and works but also his own humanitarian, personal features and characteristics and his social attitudes. According to this, Semprini who takes part in many social activities is in the position of one of the most loved persons of the Italian Colony in Istanbul and also most famous and known person by the Turkish people.<sup>5</sup> The structures/buildings of Semprini who is also one of the members of the Board of Directors of the Feriköy Latin Catholic Cemetery<sup>6</sup> acquired trust and confidence of not only the foreign state

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2 Mustafa Cezar gives the date 6 Rebiülevvel 1287 (6<sup>th</sup> June 1870) and also he provides information that this fire which continued for thirteen hours period of time and advanced from six branches was the most important fire in the history of Beyoğlu and, as a result of this, about three thousands of houses and stores are burnt and 104 persons died as well. V. Mustafa Cezar, **Ottoman Capital Istanbul**, Erol Kerim Aksoy Culture, Education, Sports and Health Foundation Publications, Istanbul 2002, pp. 432, 433.

3 Angiolo Mori, **Gli Italiani a Costantinopoli Monografia Coloniale**, Modena 1906.

4 Mori, **op.cit.**, p. 236. Can, He says that “This exaggerated example of Mori should be for Beyoğlu”. V. Can, Cengiz, **Structures and Preservation Problems of the 19<sup>th</sup> Century Western and Levantine Architects in Istanbul**, Yıldız Technical University, Institute of Science Doctorate Thesis, Istanbul, 1993, p. 221.

5 Mori, **Op.cit.**, p. 236.

6 Vittorio Del Giorno, **Chroniques de la Basilique Cathedrale Saint Esprit**, unpublished research, 1965, p. 323.

officers and the colony members but also that of the associations which provide social services and thus he was preferred in lots of applications.<sup>7</sup>

According to the information which takes part in the member record book of Societa Operaia, he is enrolled with the title of “architect” in the register number 28 in the association on the date 04<sup>th</sup> March 1875. **(P.2)** In the accounting book dated 1874-1875 which shows the subscription management fee payments of the association, Semprini is recorded as the “muratore”, that is to say “mason” and as far as it could be understood, he had paid the membership fees in a single item.<sup>8</sup> **(P.3)** In the records of the French Embassy, the profession of Semprini is shown as “producer-contractor” as well.<sup>9</sup>

It is known that the house of Guglielmo Semprini in the year 1881 is a structure which takes part in a garden at the address Ensiz Street No: 4 just opposite of the Tunnel.<sup>10</sup> As a result of our scanning processes and works which we have carried out and performed in the chapter of “Architects” of the volumes between the years 1881-1922 of the Eastern Commerce Yearbooks<sup>11</sup> which provides some important data and information about the professional groups of the period and their professional activities and initiated by Cervati Brothers for printing, we have reached the following information about Semprini;

Although it is known that he came to Istanbul following the Fire of Beyoğlu which occurred in the year 1870 and he is enrolled in the Societa Operaia in the year 1875, the name of Semprini is not encountered yet in the yearbooks of 1881, 1882, 1883. The name of Semprini is seen for the first time with a front name (Guillaume) Semprini which is different than the known one in the yearbook of 1885 and, in addition to this, the information “*R. Cemetery, maison Baudouy, en face l’hotel Royal, P.*” is given. That is to say, “the Baudouy House just opposite of the Royal Hotel, at the Cemetery Street in Pera”.<sup>12</sup> In the yearbooks of 1889-1890, Semprini appears this time with the front name which we already know (Guglielmo) and the information “*R. Sourrouri, maison Semprini, 3, P.*” is also added. According to this, Semprini resides in a house which is called with his own name at Sururi Street No: 3 in Pera. In the yearbooks of 1893-1894-1896,

7 Mori, **Op.cit.**, p. 236.

8 I thank Veronica Bruniera for the supply of the related pages of two books as mentioned and also for her valuable comments.

9 Can, Cengiz “Semprini, Guglielmo”, **Istanbul Encyclopedia from Yesterday to Today**, V. 6, Istanbul, 1994, p. 521.

10 Can, **Op.cit.**, 1994, p. 521.

11 Raphael C. Cervati, **L’indicateur Ottoman Annuaire-Almanach Commerce**, Constantinople.

12 It should be Meşrutiyet Street of today.

the record is seen as “Semprini (Guglielmo), “*R. Sourrouri, 3, a Ainaly Tchechme, P.*”. According to this, Semprini is again recorded at Sururi Street in Pera but in Aynalıçeşme in this time. In the yearbook of 1909, the record “*Semprini (chev. Gugl), R. Sourrouri, 38, P.*” is encountered. In this record which shows Semprini as residing at Sururi Street No: 38 in Pera, it is seen that his front name is abbreviated as different from the records of the previous years and also the expression of “chev” is inserted in front of it.<sup>13</sup> In the yearbooks of 1912-1913, with the record that “*Semprini (chev. Gui), R. Sourrouri, 38, P.*”, it is seen that Semprini still resides at the same address but he preferred the expression of Gui as the abbreviation of his own name. Naturally, the name Semprini is not encountered and seen in the yearbooks 1921-1922 any longer.

It is already known that Guglielmo Semprini is active in professional meaning between the years 1887-1915. Semprini who had to go to his own country because of the Tripoli War between the Ottoman and Italian in the year 1911 and then the World War I by means of liquidating his own businesses died in Forli near to Monte Colombo in the year 1917.<sup>14</sup>

### **3. A General View to the Structures which he had contributed**

The structures and buildings which are constructed by Guglielmo Semprini are those which are built for and in the names of the levanters and foreigners and used by them. Because of the fact that our study is focused in the structures of Semprini in Beyoğlu, his structures in Beyoğlu are introduced in the frame a catalogue in the next chapter.

The structures out of Beyoğlu and in which the name of Semprini is mentioned are as follows: German Embassy Summer Mansion in Tarabya,<sup>15</sup> subsequent stores which are destroyed afterwards at the front of the Feriköy Cemetery, the reparation of the Austria Hospital which is not present today in Azapkapı and Selesiani School.<sup>16</sup> The Ottoman management gave to Semprini some huge and extensive works such as the

13 “Chev” is the abbreviation of “chevalier” in French (Italian; “cav-cavaliere) and most probably it indicates a title / rank which is granted for the professional successes of Semprini in Istanbul. It could be considered and assumed that this title is granted to him because of the works which are constructed in Istanbul and due to the job opportunities which are provided to many persons from Italian colony in which he is a member in particular.

14 Mori, **Op.cit**, p. 236.

15 Cengiz Can mentions the name of the architect Alphonse Cingria as the designer of the German Embassy Summer Mansions. V. Can, **Op.cit**, 1994, p. 521.

16 Can, **Op.cit**, 1993, p. 222, Can, **Op.cit**, 1994, p. 521.

reparation of the Maiden Tower as well as the construction of the petroleum and gas storehouse in addition to the other works.<sup>17</sup>

## 4. Beyoğlu Structures

### 4.1. Structures which his name is legible in the fronts

**4.1.1. Santa Maria Draperis Church and Inn:** It is located on İstiklal Street. **(P.4-5-7)** The church which is destroyed in the fire dated 1870 is completed in the period of Sultan Abdulhamid II and in the year 1904 corresponding to the rule period of Rıdvan Pasha according to the inscription on it. In the same inscription, the name of Semprini is seen with the expression “G. SEMPRINI.ARCHTTO”. **(P.6)** The church forms an estate together with the boarding houses at two sides and Santa Maria Inn which is also situated on İstiklal Street. It is seen that the İstiklal Street front of the structure is formed with the selected architectural elements of the Neoclassical and Neobaroque styles and taken up in an eclectic style.

**4.1.2. Grand London Hotel:** It is located at the address Tepebaşı, Meşrutiyet Street No: 117. **(P.8)** It is constructed as a hotel building in stone-brick and eclectic style with five floors by two partners named L. Adamopoulos and N. Aperghis instead of a wooden mansion in the year 1891.<sup>18</sup> The name of Semprini is recorded as an architect with the plate that “G. SEMPRINI ARCHITETTO” at the right upper corner at the ground floor level in the front side of the structure. **(P.9)** The front side of the structure which is the first modern hotel building of Istanbul is taken up with a neoclassical weighted style which attracts attention with its caryatids in particular. **(P.10)** The building still serves as a hotel today as well. **(P.11)**

**4.1.3. Apartment:** It takes part at the same axis with the London Hotel at the address Tepebaşı Meşrutiyet Street No: 109. **(P.12)** The writing of “G. SEMPRINI ARCHTTO” is seen in the right upper corner at the ground floor level in the front side of the stone-brick built building which has ground floor+4 floors and built at around the year 1890. **(P.13)** The building is restored in the year 2006 by Mimar Sinan Genim and then allocated to the usage of the Istanbul Researches Institute and it still continues such function today as well. The structure is taken up with a plain neoclassical style.

<sup>17</sup> Mori, *Op.cit*, p. 236.

<sup>18</sup> Zeki Sönmez, *Turkish-Italian Political and Art Relationships*, Bağlam Publication, İstanbul 2006, p. 252.

**4.1.4. Apartment:** It is situated at Galip Dede Street which descends from Tunnel to Yüksekaldırım, at the left side. **(P.14)** The name of G. Semprini is present as an architect in the front of the stone-brick built building. The expression of “G. SEMPRINI Arc” could be read even it is painted, at the right upper corner of the ground floor level in the front side of the building which has ground floor+4 floors. **(P.15)** The ground floor of the structure is being used as store and the upper floors are being used as residences or offices. The front side of the structure is formed with the selected architectural elements of the Neoclassical and Neobaroque styles and taken up in an eclectic style.

**4.1.5. German Club / Teutonia Hall:** It is situated at Galip Dede Street which descends from Tunnel to Yüksekaldırım, at the left side. The project of the structure which is constructed in the ends of the 19<sup>th</sup> century belongs to architect-engineer Von Mackensen from the Anatolian Ottoman Train Company and its application belongs to Semprini.<sup>19</sup> It is understood from the pre-restoration photographs of the structure, the front of which is closed because it is in restoration today, **(P.16)** has ground floor+3 floors. **(P.17-18)** The writing of “G. SEMPRINI” could be read at the right upper corner of the ground floor level of this structure as well.<sup>20</sup> The front of the structure is taken up with a plain neoclassical style.

## 4.2. Structures for which he is notified as architect in the publications

**4.2.1. Elhamra Inn:** It is situated on İstiklal Street. **(P.19)** In the news of a newspaper dated 02<sup>nd</sup> January 1868, it is announced that Palais de Crystal changed hands and then reopened by M. Sabolle and Ducrot. It is seen that Elhamra is being constructed in place of Palais de Crystal towards the ends of the 19<sup>th</sup> century. It is written in the *Le Moniteur Oriental* dated September 1898 that Barthélémy Giustiniani who is the owner of the place left the construction works to the architect Semprini who is mentioned in lots of structures of the region and the architect is trying hard in order to catch the structure until the winter season. It is also stated that a cafeteria shall be built in the entrance and a brewery shall be built at its corner and this example shall be one of the most beautiful and comfortable

19 Sönmez, *Op.cit*, p. 254.

20 While we continue our study, this writing could not be viewed because of the fact that the front side of the structure is already closed, however, the presence of the mentioned writing is known because of our previous studies which we have carried out and performed in the region about the architecture of the mentioned period in question.

structures of Pera as well.<sup>21</sup> It could be said that the structure which is composed of ground floor+5 floors is in eclectic appearance as near to the “Ottoman revival” style. The structure still serves as an inn today.

### 4.3. Structures for which he is notified as contractor in the publications

**4.3.1. Saint Antoine Church and Apartments:** It is situated on İstiklal Street, in Galatasaray. **(P.20-21-22-23)** The buildings which are started to be constructed in the year 1906 are hardly completed in the year 1912. The architect of the Saint Antoine Church which is an assertive building in neogothic style is Italian Giulio Mongeri and its engineer is another Italian Edoardo de Nari.<sup>22</sup> Semprini is notified as an assistant of Giulio Mongeri who is the young architect of the structure in this construction project. However, the contribution of Semprini here realized not at the architectural design stage but at the application stage as an experienced contractor, according to Cengiz Can.<sup>23</sup>

**4.3.2. German High School:** It is situated in Tunnel, at Şah Kulu Bostan Street. **(P.24)** Its architectural planning belongs to M. F. Cumin and Semprini undertook the application and contracting of the building.<sup>24</sup> The structure which is composed of three blocks which ascend gradually has a plain neoclassical style. **(P.25)** The structure continues its authentic function today and being used as German High School.

**4.3.3. German Hospital:** It is situated in Taksim, at Siraselviler Street. **(P.26)** Semprini performed the renewal and reparation contracting of this structure as well.<sup>25</sup> The structure, which is being used as Istanbul Kent (City) University today, has a plain neoclassical style. **(P.27)**

**4.3.4. German Ashkenazi Synagogue:** It is situated in Yüksekaldırım, Karaköy. **(P.28)** The project of the building which belongs to the beginning of the 20<sup>th</sup> century is prepared by the Italian architect Gabriele Tedeschi and its application is made and performed by Guglielmo Semprini.<sup>26</sup> It is a structure in orientalist style.

21 Nur Akın, *Galata and Pera in the Second Half of the 19<sup>th</sup> Century*, Istanbul 2011, p. 286.

22 Sönmez, *Op.cit*, p. 252.

23 Can, *Op.cit*, 1994, p. 521.

24 Sönmez, *Op.cit*, p. 253.

25 Sönmez, *Op.cit*, p. 254.

26 Sönmez, *Op.cit*, p. 254.

**4.3.5. Russian Embassy Building:** It is situated in İstiklal Street. (P.29)

The structure, which is constructed by the Italian architect Gaspare Trajano Fossati between the years 1838-1849, needs reparations in some times in the ends of the 19<sup>th</sup> century and then the mentioned reparation works are performed by Guglielmo Semprini and his construction company.<sup>27</sup> The structure which is built in neoclassical style is important because of the fact that it is one of the oldest dated examples which are put forward by the Western architects in the 19<sup>th</sup> century.

**5. Evaluation and Conclusion**

Although there is not any clear information that Guglielmo Semprini who is one of the persons who came to Istanbul as one of the architects, contractors and structure masters who are needed for the re-development of the region following the destruction which is caused by the Fire of Beyoğlu which occurred in the year 1870 took an academic education of architecture, it is seen that his title is written as “architect” in the front side of some structures. In addition to this, his profession is shown as “contractor and producer” in the records of the Italian Embassy and he is enrolled as “architect” in the member record books of Societa Operaia in which he became member in the year 1875. The definition of Mori who is a witness of the period as “self-made man” which we could translate as “the man who creates himself” or “the man who educated himself” used for Semprini reinforces the opinion on the subject that Semprini learned the profession of architecture not as a consequence of an academic education but by means of applications. Because Semprini does not have projects which are not clarified by means of documenting his architectural designs, it makes us consider that he made contribution as a well-experienced construction contractor at the reparation and application stage for the structures, rather than their architectural designs, in the works in which he took part. This situation is put forth with the works of Cengiz Can in particular.

After his coming to Istanbul, there are numerous structures which are constructed and repaired by Semprini. Notwithstanding his title and education, it is obvious that the structures which are put forward in Beyoğlu in particular by Semprini and which exhibit the general architectural character of the period are the products of his own personal knowledge and experience buildup. Most part of many structures which are constructed in Beyoğlu by Semprini are eradicated without any sort of documentation with the habit of destruction and re-construction until reaching the period of

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27 Sönmez, *Op.cit*, p. 255.

development of the idea of preservation. The works of Guglielmo Semprini who had used the historical classical forms with a selective approach in the fronts which he placed statues which reached today take part in our history of architecture as the precious proofs of the BeyoĐlu culture and that of the life in the cornerstone of the century.

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## Photographs



P.1.- Guglielmo Semprini

(Mori, 1906, p. 236).

NUMERO e MATRICOLA	Cognome e Nome del Socio	PATRITA	NATTO CITTA' O DI	Cognome					CASA	MISE	MISE anni	CASA anni	MISE anni	OBSERVAZIONI	
				Uscire	M.E.S.	anni	M.E.S.	anni							
117.	Salomone Giulio Domenico	di S. Maria	Caspioli	4	Settembre	1814	7	Settembre	1858						
5	Sasselli Luigi	di S. Maria	Milano	14	Aprile	1832	11	Settembre	1853						
10	Santoro Onice	di S. Maria	Genova	20	Aprile	1830		Novembre	1867						
21	Sapienza Carlo	di S. Maria	Salerno	1	Settembre	1817	1	Marzo	1852						
28	Sempini Guglielmo	di S. Maria	Genova				1	Marzo	1857						
118	Servelli Isidoro	di S. Maria	Caspioli				9	Settembre	1860						
145	Santamaria	di S. Maria	Caspioli				2	Settembre	1860						
60	Scanziani	di S. Maria	Modena	14	Aprile	1817	1	Novembre	1867						
81	Santamaria	di S. Maria	Caspioli					Marzo	1857						
<del>120</del>	<del>Sasso Luigi</del>	<del>di S. Maria</del>	<del>Caspioli</del>	<del>15</del>	<del>Settembre</del>	<del>1855</del>									
126	Scognamiglio	di S. Maria	Napoli	7	Aprile	1850		Marzo	1860						
133	<del>Schiavone</del>	<del>di S. Maria</del>	<del>Caspioli</del>												
146	Sagelli	di S. Maria	Caspioli	17	Settembre	1812									
	Squarile	di S. Maria	Caspioli												

P.2.- Member record information of Guglielmo Semprini

(Societa Operaia Archives)

53	Sasselli	Luigi	Milano	Locandiere	Sett. 63	60		60
36	Scanziani	Carlo	id	Notario	Lug. 63			
229	Selvelli	Nichelo	Ancona	Commercia	Sett. 63			
12	Sereno	Giuseppe		Pittore	Nov. 63	50		50
174	Stampa	Giorgio		Architetto	Mar. 64	20		20
38	Spagnolelli	Giuseppe	Catanzaro	Locandiere	Lug. 63			
153	Spileri	Giorgio	Malta	Commercia	Mar. 63		50	
159	Sereno I	Sin. Batt.		Maestralo	Ott. 63	80		80
224	Sereno II	id		Muratore	Nov. 63	10		10
109	Scacchelli	Severino		Muratore	Ott. 63	120		
188	Sereno	Carlo		Pittore	Feb. 65	90	70+20	
306	Serra	Barazio	Massina	Locandiere	Apr. 64			
135	Santoro	Enrico	Genova	Commercia	Nov. 66	40		40
136	Salpa	Antonio		Kof. musica	Apr. 67	60		
243	Sambucetti	Stacomo	Genova	Segretario	Feb. 63	30		
115	Sgherzi	Francesco	Biella	Maestro	Feb. 69	70	20	
29	Sereno	Andrea	Biella	Muratore	Lug. 69	30		30
154	Santoro	Giulio	Genova	Segretario	Sett. 70	40		40
54	Sereno	Stacomo	Biella	Tagliatore	Sett. 63	70		70
270	Semi	Giorgio	Romano	Scrivano	Nov. 70		60	
304	Schettini	Nichelo	Napoli	Commercia	Sett. 70			
100	Stornolo	Giuseppe	Massina	Inventore	Mar. 71	40		40
102	Stanesku	Prisidino	Romania	id	id			
6	Spigna	Enrico	Genova	Restauratore	Sett. 69	60		
69	Sereno	Lorenzo	Biella	Tagliatore	Apr. 71	20		20
194	Savini	Pietro	Faenza	Muratore	Sett. 71			
50	Sancassan	Sestano	Vicenza	Kof. musica	Feb. 72		30	
120	Sebastiani	Vergilio	Roma	Contabile	Mar. 72			
195	Salvatore	Angelo	Malta	Senale dei	id			
97	Sambianco	Pol. Faveri	Trieste	Scrittore	id		80	
219	Sanguinacci	Enrico	id	id	id		80	
3	Saccali	Luigi	Torino	Ingegnere	Sett. 72		30	
316	Semiani	Domenico	Lanciano	Kof. music	Sett. 73	100		
332	Spagnuolo	Giovanni		Pittore	id	160		50, 100
246	Spasenza	Carlo	Verona	Littigatore	Mar. 73		30	
213	Spagnolelli	Andrea	Coquato	id	Sett. 73	80		
181	Santelli	Simone		Impiegato	Sett. 74		30	
205	Salone	Attilio	Zanisi	Scrittore	id			
189	Sorocoppi	Enrico	Imirne	Impiegato	Feb. 74	30		30
14	Scarofani	Luigi	Paranati	Scrittore	Apr. 74	50		10
372	Sempriani	Giulio	Brimino	Muratore	Marz. 75			120

P.3.- Related page of the accounting book which belongs to the years 1874-1875 which shows the subscription membership fee payments in Societa Operaia Association by Guglielmo Semprini

(Societa Operaia Archives)



P.4.- View of the Santa Maria Draperis Church and Inn from İstiklal Street

(Mehmet Çağlayan Özkurt, July 2018)



**P.5.-** *View of the entrance of the Santa Maria Draperis Church from İstiklal Street*  
(Mehmet Çağlayan Özkurt, July 2018)



**P.6.-** *"G. SEMPRINI.ARCHITTO" plate which takes part in the entrance of the Santa Maria Draperis Church*

(Mehmet Çağlayan Özkurt, July 2018)



**P.7.-** *Santa Maria Draperis Church and Inn, stairs descending to the church and the front side*

*(Mehmet Çağlayan Özkurt, July 2018)*



**P.8-** *View of the Grand London Hotel from Meşrutiyet Street*

*(Mehmet Çağlayan Özkurt, July 2018)*



**P.9.-** Grand London Hotel front detail, "G. SEMPRINI ARCHITETTO" plate  
(Mehmet Çağlayan Özkurt, July 2018)



**P.10.-** Grand London Hotel front detail, caryatids  
(Mehmet Çağlayan Özkurt, July 2018)



**P.11.-** Grand London Hotel inner view  
(Mehmet Çağlayan Özkurt, July 2018)



**P.12.-** Apartment which is located at Tepebaşı, Meşrutiyet Street.  
(Mehmet Çağlayan Özkurt, July 2018)



**P.13.-** Apartment which is located at Tepebaşı, Meşrutiyet Street.  
Front detail, “G. SEMPRINI ARCHTO” plate  
(Mehmet Çağlayan Özkurt, July 2018)



**P.14.-** Apartment which is located at Galip Dede Street  
(Mehmet Çağlayan Özkurt, July 2018)



**P.15.-** Apartment which is located at Galip Dede Street,  
"G. SEMPRINI Arc" plate  
(Mehmet Çağlayan Özkurt, July 2018)



**P.16.-** Teutonia Hall in restoration  
(Mehmet Çağlayan Özkurt, August 2018)



**P.17.-** Photograph dated 1897 which shows the Teutonia Hall from the side of Galip Dede Street

(<http://www.teutonia-istanbul.com>)



**P.18.-** Photograph dated 2004 which shows the Teutonia Hall from the side of Galip Dede Street (<http://www.teutonia-istanbul.com>)



**P.19.-** *View of Elhamra Han from İstiklal Street  
(Mehmet Çağlayan Özkurt, August 2018)*



**P.20.-** *View of Saint Antoine Church and Apartments from İstiklal Street  
(Mehmet Çağlayan Özkurt, July 2018)*



**P.21.-** *Saint Antoine Church front*  
(Mehmet Çağlayan Özkurt, July 2018)



**P.22.-** *Saint Antoine Church Apartments, view to İstiklal Street direction*  
(Mehmet Çağlayan Özkurt, July 2018)



**P.23.-** *Saint Antoine Church inner view*  
*(Mehmet Çağlayan Özkurt, July 2018)*



**P.24.- German High School**  
(Mehmet Çağlayan Özkurt, August 2018)



**P.25.- German High School in an old post card**  
(Mehmet Çağlayan Özkurt Personal Archives)



**P.26-** *View of the entrance of the Old German Hospital*  
(Mehmet Çağlayan Özkurt, August 2018)



**P.27.-** *Old German Hospital general view*  
(<http://kent.edu.tr>)



**P.28.-** View of the German Ashkenazi Synagogue from Yüksekaldırım direction  
(Mehmet Çağlayan Özkurt, August 2018)

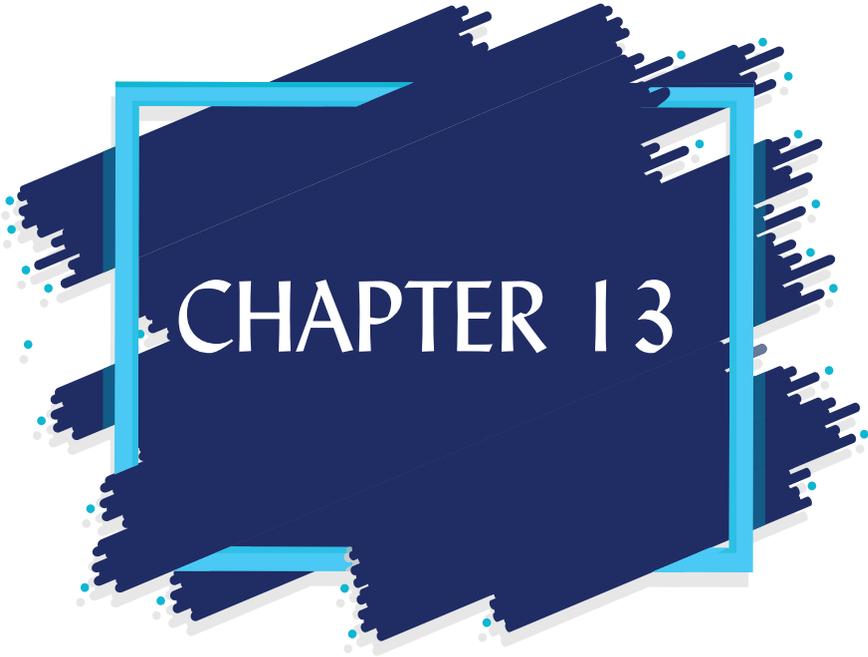


**P.29.-** Russian Embassy Building in an old post card  
(Mehmet Çağlayan Özkurt Personal Archives)



# **MODELLING OF TIME SERIES AND EVALUATION OF FORECASTS: JUVENILES RECEIVED INTO SECURITY UNIT, CASE OF TURKEY**

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## MODELLING OF TIME SERIES AND EVALUATION OF FORECASTS:

### JUVENILES RECEIVED INTO SECURITY UNIT, CASE OF TURKEY

Melike TEKİNDAL<sup>1</sup>, Seda ATTEPE ÖZDEN<sup>2</sup>

#### 1. INTRODUCTION

The juvenile delinquency phenomenon, as all over the world, constitutes one of the major social problems for Turkey (Özen et al., 2005). In the whole world, there are intensive studies on the causes, current state and prevention of juvenile delinquency, and the reintegration of child delinquents into society (Young, Greer, & Church, 2017). When we look at the research on crime as a whole, it is seen that there are two concepts which are emphasized. The first is the precautions and early diagnosis efforts to prevent crime. The second is the studies of juvenile delinquency, with the idea that the first signs of the emergence of crime are seen in childhood (Loeber, Farrington& Petechuk, 2003). In this context, the literature trying to establish the relationship between the child and crime has explained the juvenile delinquency with the multiple reasons. These reasons have been discussed within social, psychological, physiological, cultural, economic and mental dimensions (Shader, 2001).

It is necessary to evaluate the juvenile delinquents separately from the criminal adults, and let them reintegrated into society. Because the crimes committed by children are different from those by adults in terms of both the types and causes. It is very difficult to explain the concept of criminality at this stage via the definitions that “the law defines the criminal offence and, the person who committed this crime is the guilty” in the conventional criminal law books. Furthermore, when the juvenile delinquency is examined in depth, it will be seen that the problem is not merely a legal problem. In addition to the legal dimension, it is clear those psycho-pedagogical and social phenomena are at play. The most significant feature that separates the crime committed at this stage from the crime committed in the adulthood period is that it includes the stage of forming the personality. As a result of not being mature enough, the child is in a

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considerable imbalance. Not only the personal state of child but also the environmental factors play a role to show off her incompatible behaviors. These factors are closely interrelated to each other in juvenile delinquency, and the crime arises as a composition of the negative effect of these factors (Tüzün, 1995; Aykaç, 1993; Cheng & Li, 2017).

The rehabilitation services for juvenile delinquents are at the forefront in the prevention of juvenile delinquency worldwide (Piquero & Steinberg, 2008). The statistical data on juvenile delinquency are needed to improve the rehabilitation services. In this way, it can be understood how many children are likely to be child offenders, and under which conditions children become juvenile delinquents. In addition, the activities for prevention of crime shall be organized. One of the methods used for this purpose is to model the time series which are used to forecast future behaviors by looking at the variables in the past (Osho & Daramola, 2011). In the studies in which the time series related to crime are modelled, it has been seen that the criminal behavior is related to many different variables such as laws, environmental conditions, age, unemployment (Greenberg, 2001; Schneider, 2002; Pepper, 2008; Rani & Rajasree, 2014). Although the official data on juvenile delinquency are inadequate, the studies carried out have showed that there has been an increase in juvenile delinquency in recent years (Crowell, McCord & Spatz Widom, 2001). It has also been found that there are a number of factors that increase juvenile delinquency [crime], such as joining working life (Huang, 2007).

In Turkey, there is a small number of studies that used the time series analysis methods for the forecasts on crime (Aslan and Öcal, 2012; Karamanoğlu & Akdi, 2015). Specifically in the case of juvenile delinquency, there is no any study in which the future forecasts are available. This research has been needed for Turkey in order both to make the forecasts for the future and to determine the evidence-based policy recommendations.

The aim of this study is to make forecasts for the future in three areas ('offence', 'escape from home', and 'victim'), based on the data regarding the juveniles received into security unit in Turkey for the years of 2009-2013. The purpose is also to compare the similarities of these forecasts with the actual data for the years of 2014-2017.

## **2. METHOD**

In this study, in the design of qualitative research, the forecasts obtained by using the AutoRegressive Integrated Moving Average (ARIMA) method in time series analysis have been evaluated. The SPSS, version 25.0 (SPSS

Inc., Chicago, IL, USA) program and StataCorp. 2015. Stata Statistical Software: Release 14. College Station, TX: StataCorp LP. has been used for the analysis.

## 2.1. Data Source

The research data consists of the data regarding “the juveniles received into security unit” in Turkey for the years of 2009-2017, published by the Turkish Statistics Institute (TurkStat). These figures can be examined in Table 1 and Table 2.

The reasons for reception of juveniles received into security unit have been presented in two separate tables. The first table shows the number of the juveniles delinquents received into security unit. The second table includes the quantitative data of the juveniles received into security unit in terms of the certain reasons for reception and gender.

**Table 1** *Child juveniles received into security unit by reason for reception, 2009-2017*

Reason for reception	2009	2010	2011	2012	2013	2014	2015	2016	2017
Total	151 961	188 044	204 040	245 080	273 571	290 414	303 213	333 435	335 242
Offence	68 344	83 393	84 916	100 831	115 439	117 486	118 245	108 675	107 984
Misdemeanor	320	586	1 279	770	551	697	485	2 582	2 345
Abandoned	48	66	27	43	42	51	175	249	261
Escape from home	3 195	3 205	3 222	2 424	2 821	3 193	3 010	2 686	2 315
Foundling	1 669	1 745	1 208	1 661	1 732	1 792	1 238	566	512
Lost (Found)	5 081	8 081	10 067	12 474	16 218	18 696	17 706	11 691	11 563
Victim	61 645	76 428	88 582	111 857	121 717	131 172	142 179	158 343	155 024
Drug use	373	985	418	245	230	219	213	525	293
Working at street	3 579	2 768	1 712	2 213	1 574	3 267	1 538	520	715
Living at street	16	39	24	17	15	23	19	13	10
Illegal work	9	12	16	13	19	24	20	31	45
Witness	2 363	3 877	5 418	7 075	8 588	10 020	13 217	41 167	46 040
Not sent to school	1 190	1 028	1 129	527	123	108	410	96	29
Escape from the institution	827	868	1 106	1 256	1 093	863	1 216	1 102	1 410
Other	3 302	4 963	4 916	3 674	3 409	2 803	3 542	5 189	6 696

When the number of juveniles received into security unit in terms of the reasons for inception in Table 1 has been examined the following items can be emphasized: The highest rate for the years of 2009-2017 was in 2017 (335 242 children). The numbers has increased linearly from the year of 2009 to 2017. The reasons for reception include ‘offence, misdemeanor, abandoned, escape from home, foundling, lost (found), victim, drug use, working at street, living at street, illegal work, witness, not sent to school, escaping from the institution, other’ reasons. Among the stated reasons, in 2017, the highest numbers of children were received into security unit due to the reason of victim for 155 024 children, followed by the reason of offence for 107 984 children.

When the reasons for inception of juveniles received into security unit have been examined on a yearly basis; the peak years of such reasons can be pointed out: The highest year for offence (118 245 children) was the year of 2015; the highest year for the misdemeanor (2 345 children), abandoned (261 children), illegal work (45 children), witness (46 040 children), escape from the institution (1 410 children) were in 2017. The highest year for escape from home (3 222 children) was the year of 2011; the highest year for foundling (1 792 children), for lost (found) (18 696 children), and working at street (3 267 children) were the year of 2014; the highest year for victim (158 343 children) was in 2016; the highest year for drug use (985 children), living at street (39 children) were the year of 2010 year; the highest year for not sent to school (1 190 children) was the year of 2009.

In the study, the data in three areas (‘offence, escape from home and victim’) have been used, based on the data of juveniles received into security unit.

**Table 2** *The status of juveniles received into security unit by reason for reception (‘Offence’, ‘Escape from home’, ‘Victim’) and gender, 2009-2017*

	2009	2010	2011	2012	2013	2014	2015	2016	2017
Offence									
Total	68 344	83 393	84 916	100 831	115 439	117 486	118 245	108 675	107 984
Male	61 151	74 251	76 405	89 667	102 350	102 493	101 097	91699	92 849
Female	7 193	9 142	8 511	11 164	13 089	14 993	17 148	16976	15 135
Escape from home									
Total	3 195	3 205	3 222	2 424	2 821	3 193	3 010	2 686	2 315
Male	1381	1414	1514	928	1209	1267	1196	880	867

Female	1814	1791	1708	1496	1612	1926	1814	1806	1448
Victim									
Total	61 645	76 428	88 582	111 857	121 717	131 172	142 179	158 343	155 024
Male	34776	41173	47532	59880	66353	58103	64072	71824	70862
Female	26869	35255	41050	51977	55364	73069	78107	86519	84162

The state of juveniles received into security unit regarding the reasons of offence, escape from home and victim by gender for the years of 2009-2017 can be examined in Table 2. When the numbers of juveniles regarding offence by gender have examined, the number of boys was higher than the number of girls for all of the years, and the difference in the range has increased in all years.

When the status of 'escape from home' has been examined in terms of the gender, the girls were more than the boys in all years. According to the years, the increase or decrease in the numbers has been observed in some certain years. When the state of victim has been examined by the gender and year basis, the number increased in all years. Although the numbers of boys were higher than the numbers of girls in the years of 2009-2013, the numbers of girls were more than the number of boys in the years of 2014-2017.

## 2.2. Forecasting Model: Box-Jenkins Method (ARIMA)

The autoregressive integrated moving average (ARIMA) method, which is used for forecasting time-series events, was developed by Box and Jenkins (Box and Jenkins, 1976). The ARIMA modeling approach is limited to the assumption that there is linearity between the variables. On the other hand, researchers have developed alternative modeling perspectives for forecasting time-series events where the linearity assumption is not fulfilled.

The ARIMA or Box-Jenkins models are the combinations of AR and MA models administered to the series differenced at degree  $d$ . The essence of the Box-Jenkins method is the choice of an ARIMA model that is the most suitable one among various models based on the structure of the current data but contains limited number of parameters. As a whole, these models, which are non-seasonal, are represented as ARIMA ( $p, d, q$ ).

In the models (Işığışık, 1993),

$p$ : Degree of autoregressive model,

$q$ : Order of moving average model,

$d$ : Degree of non-seasonal differencing.

The expression of ARIMA (p, d, q) model can be defined as indicated in equation (1):

$$Z_t = \phi_1 Z_{t-1} + \phi_2 Z_{t-2} + \dots + \phi_p Z_{t-p} + a_t - \theta_1 a_{t-1} - \theta_2 a_{t-2} - \dots - \theta_q a_{t-q} \quad (1)$$

Here:

$\phi_p$ : Parameter values for autoregressive operator,  $a_t$ : Error term coefficients,  $\theta_q$ : Parameter values for moving average operator,  $Z_t$ : Time series of the original series differenced at degree d.

$$W_t = Y_t - Y_{t-1}, t = 1, 2, \dots, t \quad (2).$$

The first differences series is defined as given in the equation (2).

$W_t$  = The first differences series,

$Y_t$  = The random variables subset of the original time series.

If the first differences series is not stationary, stationary is checked by differencing the first time series again. This is modeled as given in equation (3).

$$Z_t = W_t W_{t-1} \quad t = 1, 2, \dots, t \quad (3)$$

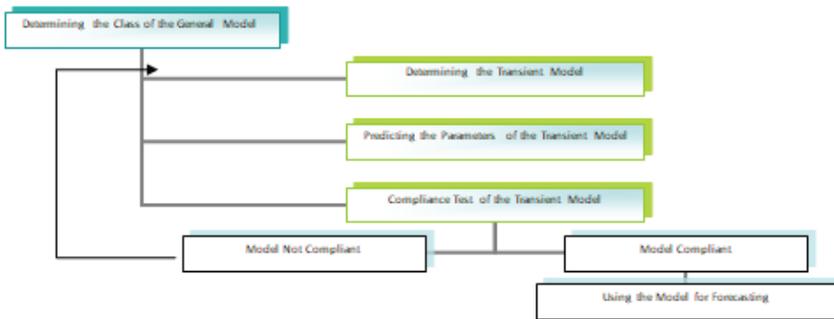
When the degree of differencing is  $d = 0$  (that means that the original series is stationary), The ARIMA model will be the AR, MA, or ARMA model. Due to this feature, it can be said that the ARIMA models incorporate all of the Box-Jenkins models (Box et al., 1994).

The Seasonal Box-Jenkins models are represented as ARIMA(p,q,d) (P,D,Q)s. Here, P is the degree of seasonal autoregressive (SAR) model; D is the number of seasonal differencing operations; Q is the order of seasonal moving average (SMA) model; and s is the period. In a combined autoregressive moving average model, the future value of a variable is assumed to be a linear function of past observations and random errors (Brockwell and Davis, 1991).

The relationship between the Seasonal ARIMA(p,q,d)(P,D,Q)s models and the ARIMA(p,d,q) models is represented in Equation (5). They are the SARIMA models (Makridakis et al., 1997).

$$\Phi P(B) \phi p(B) [1-B^s]^D [1-B]^d Z_t = \alpha + \Theta Q(B) \theta q(B) A_t \quad (5)$$

The model establishment process involves certain repetitive steps (Box and Jenkins, 1976). These steps are indicated in the flow chart given in Figure 1.



**Figure 1:** Model Establishment Process

In determining the model, a model is selected from the model classes such as AR, MA, ARMA, ARIMA, and SARIMA.

Then the parameters of the transient model are forecasted by use of efficient statistical techniques, and the standard errors of coefficients are calculated to test whether they are significant or not. In the last stage, the compliance of the model is checked for forecasting. To this end, the autocorrelation function of the model is examined by drawing the graph of the autocorrelation coefficients of the errors of the transient model that is assumed to be compliant. If this function displays a particular shape, it is concluded that errors are not random. This kind of a finding means that the determined transient model is not compliant. Therefore, one turns to the second step again, and this process is repeated until the compliant model is determined through a new transient model. The model passing the compliance check is now ready to be used for forecasting (Yaman et.al., 2001; Yenice & Tekindal, 2015; Arıkan et. al., 2018; Tekindal et. al., 2016; Tekin & Tekindal, 2019; Kaymaz, et. al., 2018).

The forecasting methods based on exponential smoothing and moving averages are also used in forecasting. The simple exponential smoothing

method is derived from moving averages and is expressed as indicated in Equation (6) (Box et al., 2009).

$$Z'_t = \alpha Z_t + (1 - \alpha)Z'_{t-1}$$

$$\hat{Z}_{t+1} = Z'_t \tag{6}$$

Here,  $\hat{Z}_{t+1}$  refers to the forecast value for the forthcoming period;  $\alpha$  refers to smoothing coefficient (it takes a value in the range of  $0 < \alpha < 1$ );  $Z_t$  refers to true index value in period t or new observation; and  $Z'_t$  refers to former smoothed value. The most important point to consider at this point is the determination of  $\alpha$  so that mean square errors are minimized.

The Holt's two-parameter linear exponential smoothing method equation is indicated in Equation (7) (Commandeur et al., 2007).

$$Z'_t = \alpha Z_t + (1 - \alpha)Z'_{t-1} + T_{t-1} \tag{7}$$

$$\hat{Z}_{t+1} = Z'_t + T_t$$

Here,  $T_t = \beta(Z'_t - Z'_{t-1}) + (1 - \beta)T_{t-1}$ . In addition,  $a$  and  $b$  are the parameters of the method and take a value between 0 and 1.

The Brown's exponential smoothing method is expressed as follows:

$$S_t = \alpha(Y_t - I_{t-L}) + (1 - \alpha)(S_{t-1} - b_{t-1})$$

$$b_t = \gamma(S_t - S_{t-1}) + (1 - \gamma)b_{t-1}$$

$$I_t = \beta(Y_t - S_t) + (1 - \beta)I_{t-L}$$

$$F_{t+m} = S_t + m b_t + I_{t-L+m} \tag{8}$$

$t$  is a value observed at time  $Y_t$ ;  $t$  is a seasonal component;  $b_t$  is the smoothing component of the trend of  $t$ ;  $L$  is the number of periods in a season;  $F_{t+m}$  is one forecast ahead of  $m$  periods;  $m$  is the number of forecasted periods;  $\alpha$  is parameter smoothing;  $\beta$  is seasonal smoothing parameter; and  $\gamma$  is the smoothing parameter of the trend (Gardner, 1985).

The goodness of fit criteria of the obtained models are evaluated through comparison with one another.  $R^2$  is a commonly known criterion. It is the goodness of fit criterion of the linear model. It is also known as coefficient of determination. It is in the range of 0-1 and smaller values indicate that the model does not have a good fit for the data. The stationary  $R^2$  is a criterion that compares the stationary part of the model and the basic model. It is preferred when there is a trend or seasonal pattern. The RMSE is the square root of mean square errors. It is used for indicating how different dependent series are from the level forecasted by the model. Smaller values show that model forecasting is better. The MAPE refers to mean absolute percentage error and is independent of the units of the series, and thus can be used in the comparison of different series. MAE refers to mean average error and is expressed with the series' own units. MaxAPE is the maximum absolute percentage error measure. It indicates the highest error occurring among the forecasted values, is expressed in percentage, and thus unit independent. It is a measure that can be used for the worst scenarios among the forecasts. MaxAE is the maximum absolute error and is expressed in the same unit as the dependent series. Norm. BIC (Normalized Bayesian Information Criterion) is the general measure of the total fit of the model. This measure is used for making a comparison between different models when the series are the same, and smaller values indicate a better model (SPSS 2007a-2007b; Irmak et al., 2012).

Forecast consistency:

Forecast Error (e):

$$e_t = A_t - F_t \quad (9)$$

Mean Forecast Error (MFE or Bias):

$$MFE = \frac{\sum_{i=1}^n (e_i)}{n} \quad (10)$$

Mean Absolute Deviation (MAD):

$$MAD = \frac{\sum_{i=1}^n |e_i|}{n} \quad (11)$$

Mean Absolute Percentage Error (MAPE):

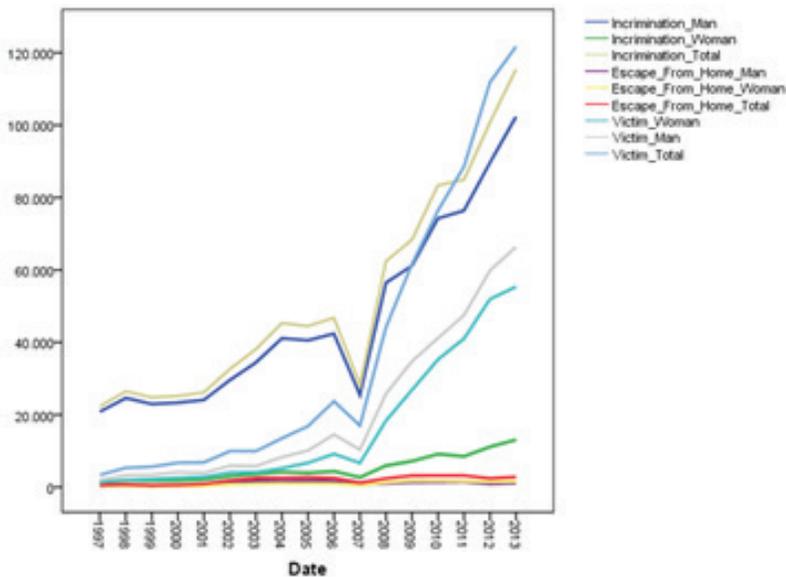
$$M = \frac{1}{n} \sum_{t=1}^n \left| \frac{A_t - F_t}{A_t} \right| \quad (12)$$

Mean Square Error (MSE):

$$MSE = \frac{\sum_{t=1}^N E_t^2}{n} \quad (13)$$

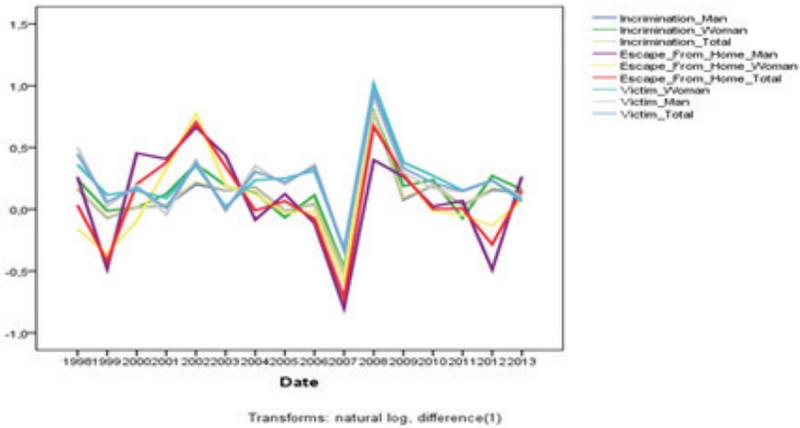
### 3. FINDINGS [RESULTS]

The time series analysis on the number of children for the years of 2009-2013 has been carried out in order to make the future forecasts of the number of juveniles in three areas (offence, escape from home and victim), based on the data on juveniles received into security unit. The forecasted values obtained as the result of the analysis conducted for the years of 2013-2014-2015-2016-2017 have also been validated in accordance with the actual data. The concordance between the actual data and the forecasted values has been examined.



**Fig. 2.** Graph of time series of girls and boys regarding offence [incrimination], escape from home and victimization (number of persons/year)

The graph of time series for girls, boys, and all individuals (total) regarding offence incrimination, escape from home and victim has been presented in Figure 2. When the numbers of individuals regarding offence, escape from home and victim, in Figure 2, have been examined in terms of the gender, it can be said that the series is non-stationary in terms of both the variance and average, and has a tendency to increase with a trend. The year of 2007 was important for all of the three reasons for inception into security unit. Although the break point of the year of 2007 was downward for all three reasons, they showed in an increasing trend from this breaking year.



**Fig. 3.** Variation of the numbers of child offenders charged, home escaped and victims by years when the first-differences are taken

In Figure 3, the first-difference and logarithm has been taken and a partial stationary image has been observed in both the variance and average. This indicates that the data is close to become stationary. The graphs from Figure 4 to Figure 12 illustrate the ACF and PACF graphs which will allow for forecasts of the coefficients of the model of the data after this step.

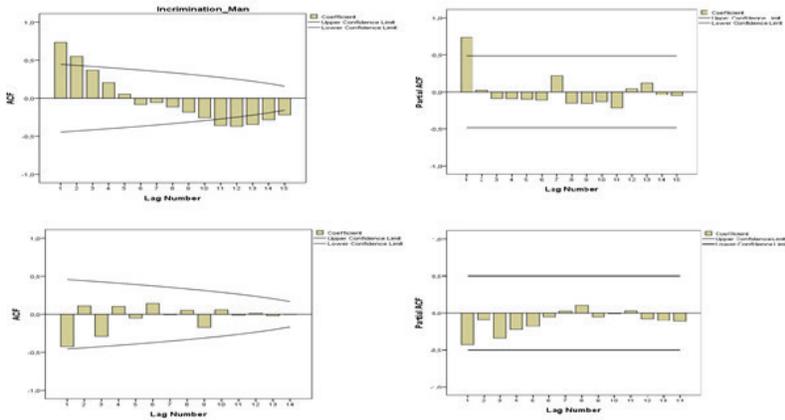


Fig. 4. ACF and PACF graphs on the series of number of men who are charged with offence [incrimination] by years

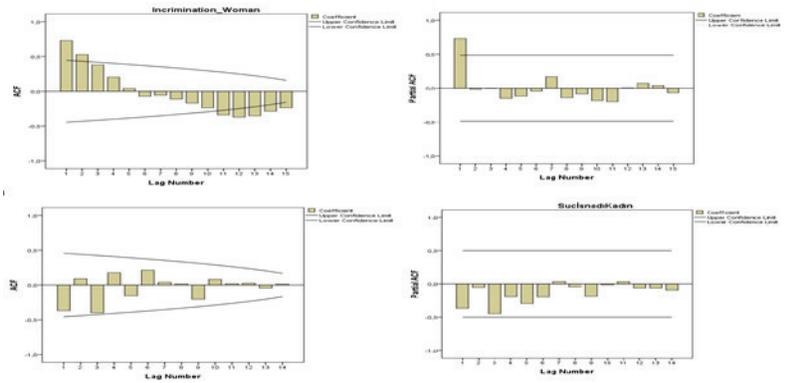


Fig. 5. ACF and PACF graphs on the series of number of women who are charged with offence by years

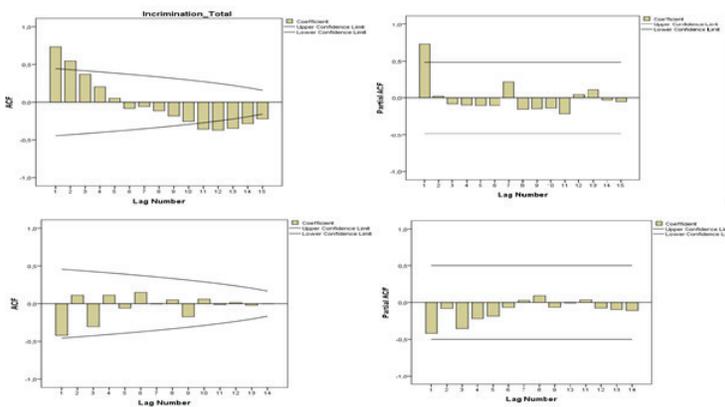


Fig. 6. ACF and PACF graphs of the number of individuals who are charged with offence by years

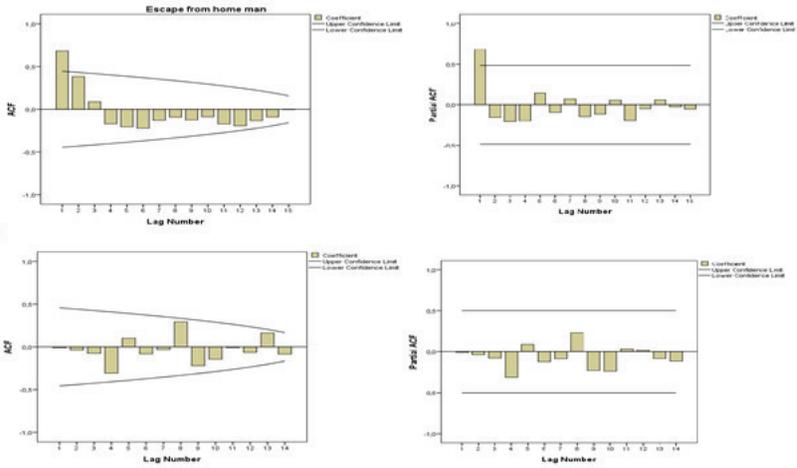


Fig. 7. ACF and PACF graphs of the number of men who escape from home by years

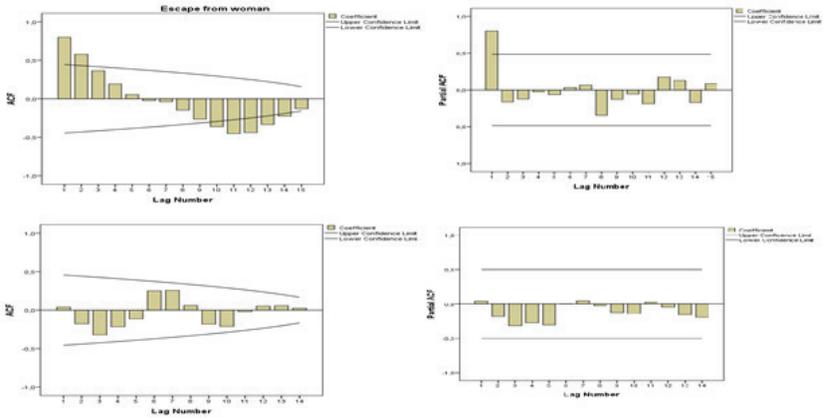


Fig. 8. ACF and PACF graphs of the number of women who escape from home by years

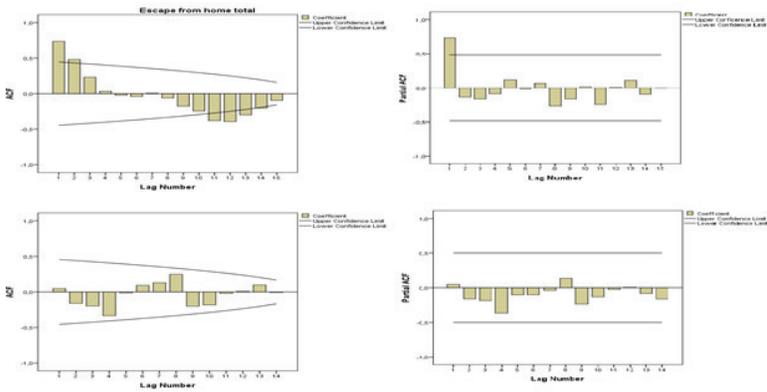


Fig. 9. ACF and PACF graphs of the number of individuals who escape from home by years

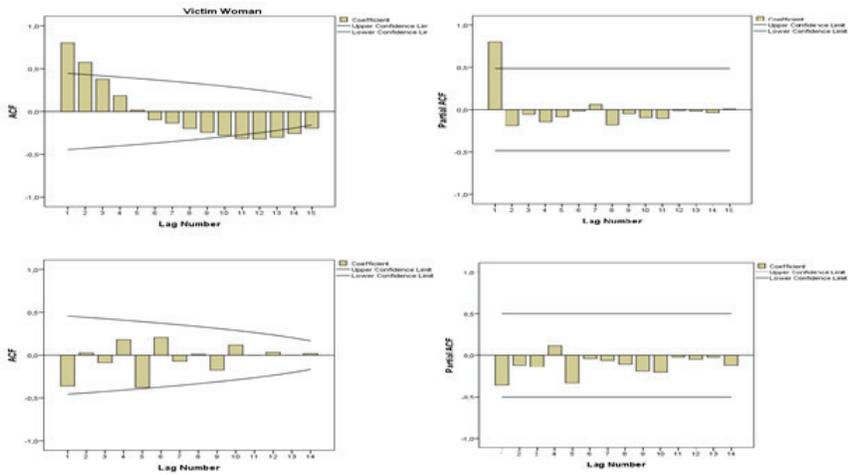


Fig. 10. ACF and PACF graphs of the number of women who are victims by years

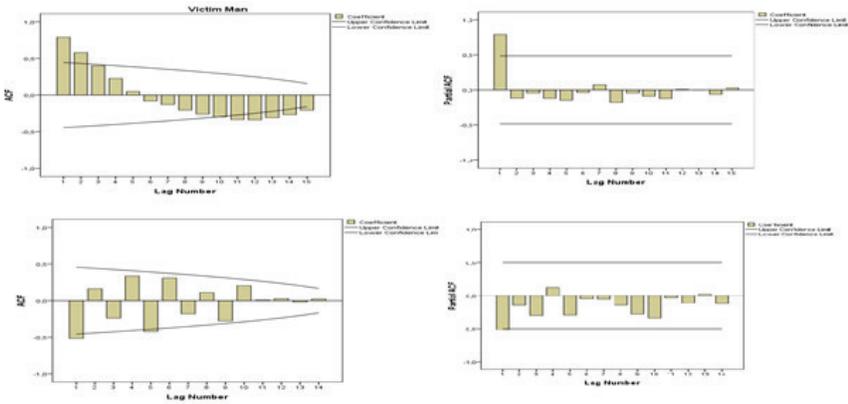


Fig. 11. ACF and PACF graphs of the number of men who are victims by years

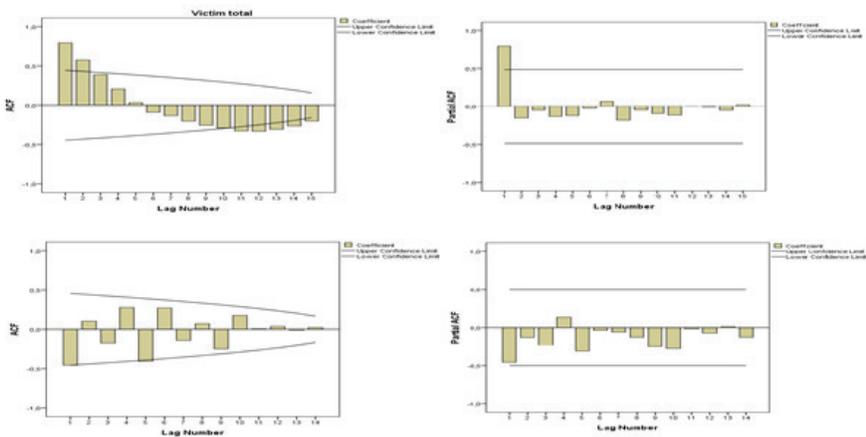


Fig. 12. ACF and PACF graphs of the number of individuals who are victims by years

The ACF and PACF graphs from Figure 2 to Figure 12 help us to forecast the coefficients of the MA model and the AR model, respectively.

When examining the autocorrelation and partial autocorrelation graphs of the values of autocorrelation and partial autocorrelation, and the values of logarithm and first-difference regarding the numbers of boys who are charged with offence by years (Figure 2 - Figure 12), the AR and MA coefficients have been determined by making a detailed selection criteria related to the AR and MA values. The most appropriate forecasting methods in the Table 4, Table 5 and Table 6 have been considered to be used for the future forecasts. Accordingly, the forecasted values of number of individuals regarding offence, escape from home and victim by years can be examined in terms of all of the models in the Table 4, Table 5 and Table 6.

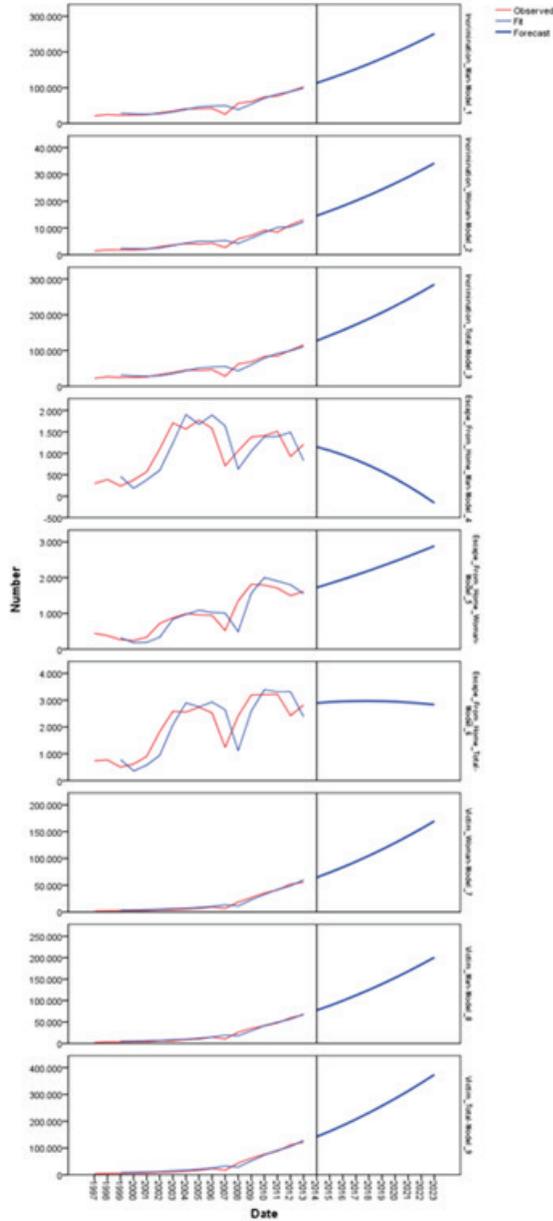
**Table 4** According to all of the models, the forecasted values of the number of individuals who are charged with offence by years

	ARIMA(1,2,1)												Simple Exponential Smoothing Method						Holt's 2-parameter Exponential Smoothing Method						Brown's 3-parameter Simple Exponential Smoothing Model					
	Offence charged			Offence charged			Offence charged			Offence charged			Offence charged			Offence charged			Offence charged			Offence charged			Offence charged			Offence charged		
	Male	Female	Total	Male	Female	Total	Male	Female	Total	Male	Female	Total	Male	Female	Total	Male	Female	Total	Male	Female	Total	Male	Female	Total	Male	Female	Total	Male	Female	Total
1997	20850	1455	22305	22174	1538	23715	19817	1425	21236	27763	2151	29955																		
1998	24613	1854	26467	21668	1518	23186	21853	1625	23489	24781	1801	26601																		
1999	22967	1832	24799	24707	1905	26611	24100	1854	25981	26121	2015	28133																		
2000	23337	1857	25194	26394	2269	28658	23918	1909	25814	26573	2115	28734																		
2001	24080	2102	26182	25770	2257	28038	24088	1934	26019	29298	2413	31776																		
2002	29585	3031	32616	26937	2530	29464	24745	2175	26898	32300	2752	35138																		
2003	34428	3673	38101	32214	3490	35696	29421	3090	32459	35613	3140	38859																		
2004	41130	4195	45325	38793	4402	43205	34372	3780	38128	39269	3582	42978																		
2005	40574	3925	44499	46186	5074	51291	40896	4335	45259	43303	4087	47536																		
2006	42393	4398	46791	48818	5052	53896	41752	4104	45898	47746	4662	52572																		
2007	25470	2716	28186	49992	5349	55333	43440	4554	47965	52643	5318	58138																		
2008	56465	5965	62430	38954	4235	43180	28862	2911	31742	58006	6063	64254																		
2009	61151	7195	68344	53683	6186	59892	51306	5946	57205	63960	6916	71063																		
2010	74251	9142	83393	70541	8303	78816	60847	7395	68187	70525	7890	78593																		
2011	76405	8511	84916	81668	10228	91888	73563	9387	82869	77770	9002	86929																		
2012	89667	11164	100831	88834	10453	99365	77967	8899	86970	85754	10268	96141																		
2013	102350	13089	115439	98809	12228	110981	89807	11453	101116	94564	11714	106338																		
2014				113021	14590	127607	102680	13502	116070	104282	13365	117619																		
2015				125556	16372	141937	104985	14005	118803	114988	15246	130085																		
2016				138416	18206	156633	107342	14527	121600	126792	17391	143871																		
2017				152211	20166	172397	109752	15069	124463	139808	19839	159119																		
2018				166699	22228	188955	112216	15631	127393	154161	22631	175982																		
2019				181977	24400	206412	114735	16213	130393	169987	25816	194633																		
2020				198006	26679	224729	117311	16818	133463	187438	29449	215260																		
2021				214801	29067	243921	119945	17445	136605	206680	33593	238074																		
2022				232357	31562	263982	122637	18095	139822	227897	38321	263305																		
2023				250675	34166	284914	125390	18770	143114	251293	43714	291210																		
MAPE				16.85	20.75	17.17	15.333	18.126	15.493	13.289	13.652	13.184	16.858	20.698	45.449															



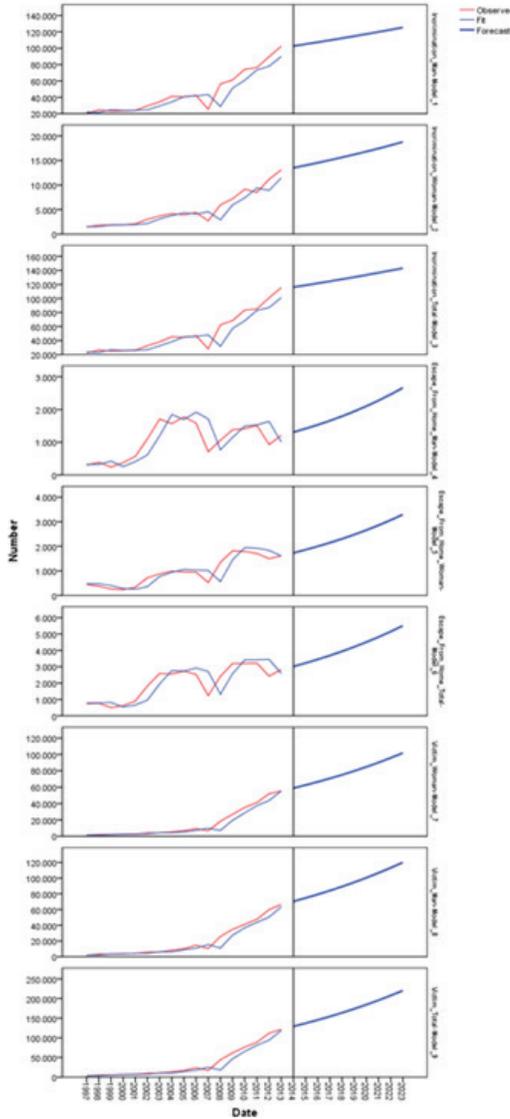


When examining Table 6, according to MAPE value, the forecasted values of Male (16,382), Female (18,193)) and Total (17,981) obtained by the Holt's 2-parameter exponential smoothing method can be used for the number of individuals who are victims.



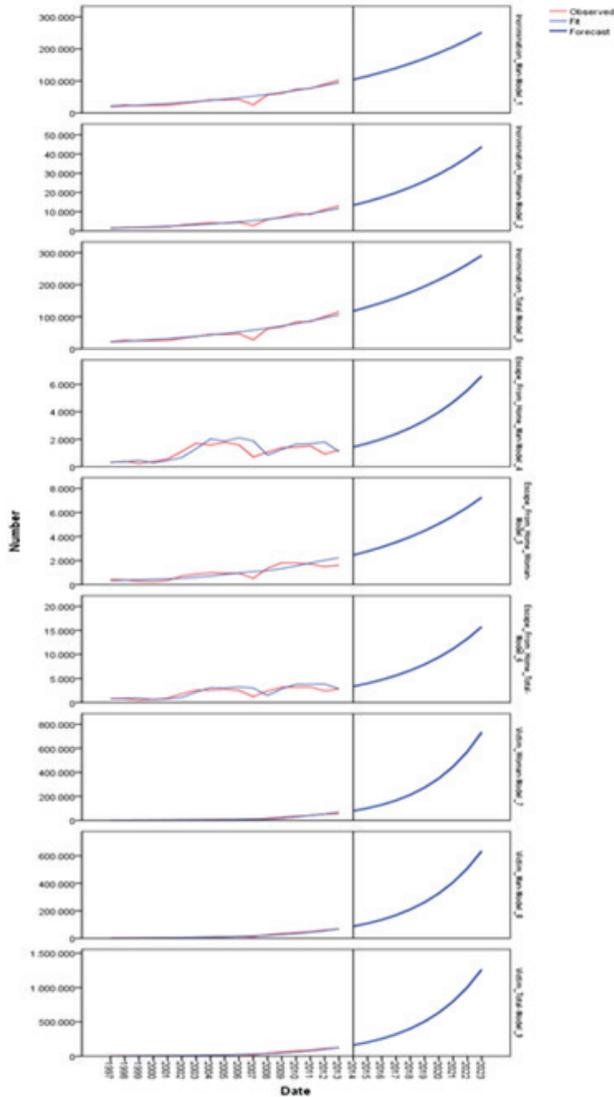
**Fig. 13.** Forecast (prediction) graphs of Box-Jenkins model on the number of individuals (male-female-total) regarding offence charged, escape from home and victim by years

When examining the Figure 13, according to the forecast (prediction) graph of Box-Jenkins model, it has been forecasted that the number of juveniles regarding offence and victim will increase. In addition to the increasing and decreasing trend in the number of ‘escaped from home’ before 2013, from the year of 2014 it has been forecasted the tendency to decrease in men, the tendency to increase in women, and a steady [continuous] trend in total number of individuals.



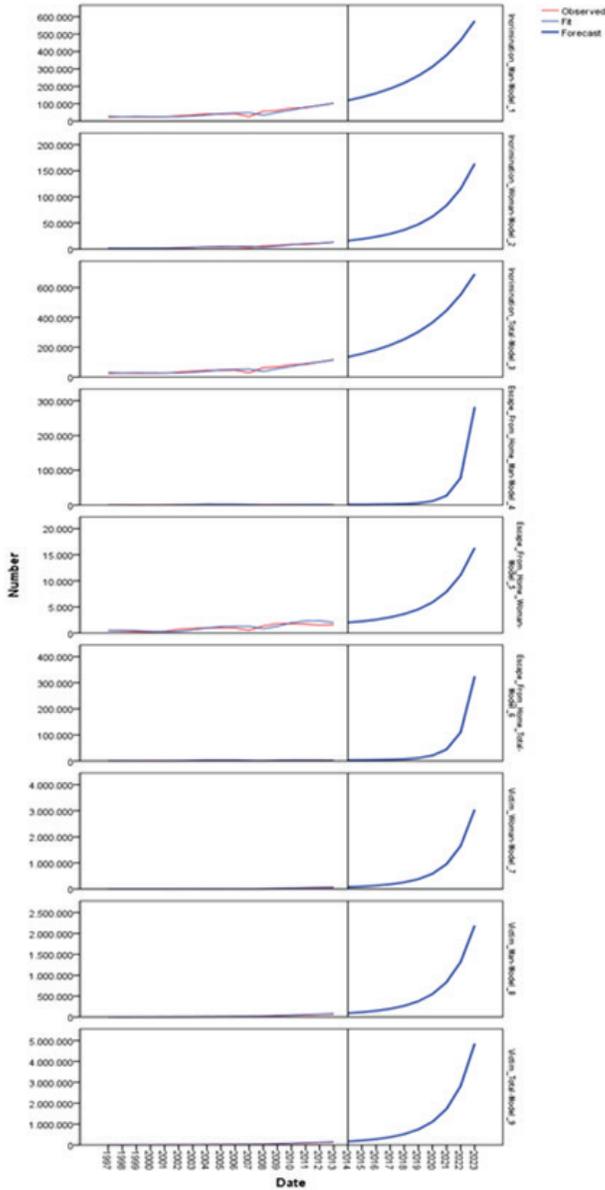
**Fig. 14.** Forecast (prediction) graphs of the simple exponential smoothing model on the number of individuals (male-female-total) regarding offence charged, escape from home and victim by years

When examining the Figure 14, according to the simple exponential smoothing model forecast (prediction) graph, it has been forecasted that the number of juveniles regarding offence, escape from home and victim in terms of male, female and total will realize an increasing trend.



**Fig. 15.** Forecast (prediction) graphs of the the Holt's 2-parameter Exponential Smoothing Model on the number of individuals (male-female-total) regarding offence charged, escape from home and victim by years

When examining Figure 15, according to the forecast (prediction) graphs of the the Holt's 2-parameter exponential smoothing model, it has been forecasted that the number of juveniles regarding offence, victim, and escape from home will tend to increase in general in terms of the male, female and total basis.



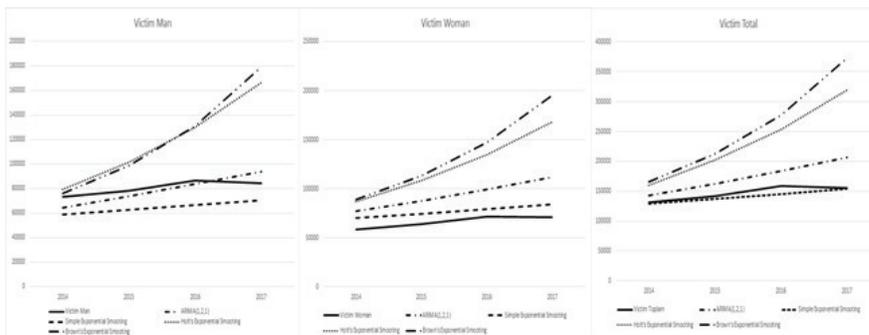
**Fig. 16.** Forecast (prediction) graphs of the Brown's 3-parameter simple exponential smoothing model on the number of individuals (male-female-total) regarding offence charged, escape from home and victim by years

When the Figure 16 has been examined, according to the forecast (prediction) graphs of the Brown's 3-parameter simple exponential smoothing model, it has been forecasted that the number of juveniles regarding offence, victim, and escape from home will show a generally upward trend in women, men and total. It has been forecasted that only the number of boys who escape from home will realize a sudden increase from the years of 2021-2022 with at a minimum stationary.

When examining Figure 13, Figure 14, Figure 15 and Figure 16, the logarithm of the number of individuals (girls-boys-total) regarding offence, escape from home and victim by years has been presented. In addition, the forecast graphs of the first-difference values carried out by the Box-Jenkins Model, the simple exponential smoothing model, the Holt's 2-parameter exponential smoothing model and Brown's 3-parameter simple exponential smoothing model have been included.

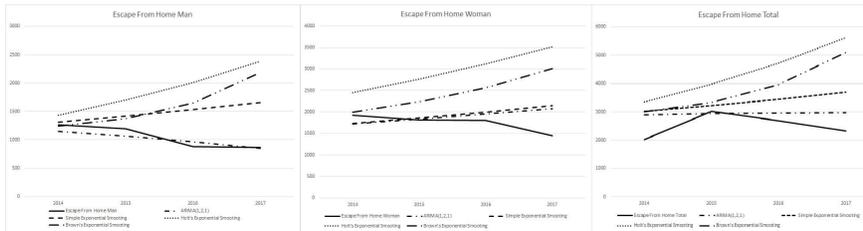
When all of the graphs have been examined, the quantitative data of juveniles regarding offence, escape from home and victim have showed an increasing trend for both girls and boys. Only in the Box-Jenkins model's forecast graph (Figure 13), it has been seen that while the forecast of the number of boys who escape from home for 2023 will decrease, the forecast of all of the individuals who escape from home for 2023 has also been showed a stationary tendency (neither upward, nor downward). It has been observed an increasing trend in all of the other models.

This analysis made for the year of 2013 has been checked with those for the year of 2018, and then when which method provides with the more accurate results has been analyzed, the graphs in Figure 17, Figure 18 and Figure 19 have been derived.



**Fig. 17.** Comparison of actual values and forecasted values for the victims in the years of 2014-2017

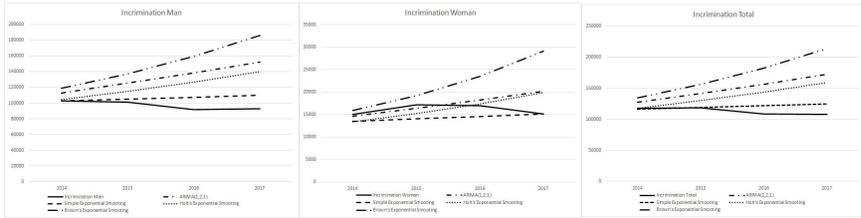
When both the actual data and the forecasted values obtained as a result of the modelling carried out have been examined, for the years of 2014-2017, the Holt's 2-parameter exponential smoothing method for the juveniles who are victims has been found to be the most appropriate method in the forecasting modelled. When the actual values have been examined, the Box-Jenkins method (ARIMA (1,2,1)) has been the closest forecast for boys, and the simple exponential smoothing method has provided with the closest forecast for girls and total individuals.



**Fig. 18.** Comparison of actual and forecasted values for individuals who escape from home in the years of 2014-2017

When both the actual data and the forecasted values obtained as a result of the modelling performed have been examined, for the years of 2014-2017, the Box-Jenkins method (ARIMA (1,2,1)) for girls who escape from home, and the simple exponential smoothing method for boys and total individuals who escape from home have been found to be the most appropriate method in the forecasting modelled, respectively. When the actual values have been examined, the Box-Jenkins method (ARIMA (1,2,1)) has been the closest forecast for boys, and the Box-Jenkins method (ARIMA (1,2,1)) and the simple exponential smoothing method has provided with the closest forecast for girls, and for the year of 2015 the ARIMA method the simple exponential smoothing method has been the closest forecast for the total individuals. Thus, it is appropriate to make the selection for boys and girls separately. Because, it has not been found to be an appropriate model for the total value, as being available on the basis of gender breakdown.

The Box-Jenkins method (ARIMA (1,2,1)) has produced an appropriate forecast for the girls. It has been observed that the forecasted and actual values are parallel to each other.



**Fig. 19.** Comparison of actual and forecasted values for individuals who are charged with offence in the years of 2014-2017

When the actual data and the forecasted values obtained as a result of the modelling applied have been examined, for the years of 2014-2017, the Holt's 2-parameter exponential smoothing method for the child offenders (female, male, total) has been found to be the most appropriate method in the forecasting modelled. When the actual values have been examined, the simple exponential smoothing method for boys and the total individuals, and the three methods for girls, namely the Holt's 2-parameter exponential smoothing method, the simple exponential smoothing method, and the Box-Jenkins method (ARIMA (1,2,1)) can be recommended.

The Holt's 2-parameter exponential smoothing method has produced an appropriate forecast for the girls. It has been observed that the forecasted and actual values are parallel to each other.

#### 4. CONCLUSION AND DISCUSSION

As a result of the research, in Turkey, the forecasted values obtained by the forecasting methods based on the data for the years of 2009-2013 have been found different from the actual number of boys and girls regarding offence, escape from home and victim. When the forecasted values obtained via using different methods have been compared with the actual data of 2014-2017 years, it can be said that the using different methods for different variables indicates high accuracy values.

According to the time series analysis performed in this study, it has been predicted that the forecasted values obtained by the result of the Holt's 2-parameter exponential smoothing method can be used for *the offenders* (boys, girls, and total). When the forecasted values and the actual data have been examined, the simple exponential smoothing method for boys and the total individuals, and the three methods for girls, namely the Holt's 2-parameter exponential smoothing method, the simple exponential smoothing method, and the Box-Jenkins method (ARIMA (1,2,1)) have been found to be appropriate. The Holt's 2-parameter exponential

smoothing method has produced close forecasted values to the actual data for the numbers of girls who are charged with offence.

When the forecasting methods for juveniles who are *victims* have been examined, it has been recommended to use the Box-Jenkins method (ARIMA (1,2,1)) for predicting the number of boys, and the simple exponential smoothing method for forecasting the numbers of girls and the total numbers.

When examining the actual data on juveniles who *escape from home*, the Box-Jenkins method (ARIMA(1,2,1)) for the forecast of number of boys, and the Box-Jenkins method (ARIMA (1,2,1)) and the simple exponential smoothing method for the forecast of number of girls have been recommended respectively, as a result of this research. The Box-Jenkins method (ARIMA (1,2,1)), which has been found to be appropriate when forecasting the number of girls who escape from home, has produced the most appropriate result compared to the actual numbers.

As a result, in Turkey, when both the forecasted values obtained by using the forecasting methods and the actual data for some certain years (2013-2014-2015-2016-2017) have been examined, it has been observed an increasing trend in each of the three reasons of receiving juveniles into security unit. When the numbers of 2023 compared to those of 2017 have been examined in the appropriate methods in accordance with both the forecasted and actual values; the following findings can be mentioned.

It has been forecasted that the number of girls who are charged with offence will increase from 15 135 in 2017 to 43 714 in 2023 (the Holt's 2-parameter exponential smoothing method), the number of boys who are charged with offence will rise from 92 849 in 2017 to 125 390 in 2023 (the simple exponential smoothing method), and the total number will increase from 107 984 to 143 114 children (the simple exponential smoothing method).

While the number of girls who escape from home was 1 448 in 2017, it has been forecasted that this number will be 2 886 (the Box-Jenkins method (ARIMA (1,2,1))). On the other hand, the number of boys who escape from home is expected to fall to a negative number in 2023 from 867 in 2017.

It has been forecasted that the number of female victims will increase from 84 162 in 2017 to 101 787 (the simple exponential smoothing method), the number of male victims will rise from 70 862 to 200 514 (the

Box-Jenkins method (ARIMA (1,2,1)), and the total number will from 155 024 to 220 332 (the simple exponential smoothing method) children.

Although the short-term forecasts by the time series models always provide more accurate information due to the fact that the forecasts by these models are based on the historical data (Biçer, 2009), it is clear that the numbers will increase in Turkey. Therefore, the serious measures should be taken to prevent the juveniles' delinquency. At the same time, the rehabilitation of juveniles received into security unit regarding the reasons of offence or victim, is also important in terms of the prevention of juvenile delinquency as well as the reintegration of juveniles into life.

The factors influencing the juvenile delinquents are, *inter alia*, the age group (Öztürk, 2005), gender (Gürler, 2005; Karabulut, 2006), education level (Ağırçötüren, 2006), friends circle (Gürler, 2005), working status (Yavuz, 2003), alcohol and drug use (Gürler, 2005; Öztürk, 2005) and socio-economic level (Ağırçötüren, 2006). In addition, the adverse environmental conditions play an important role in the juvenile delinquency. In the emergence of these conditions, the poverty, unemployment, rapid change of societal structure and increase in squatter regions are effective (Salagaev, 2004:1, in Öter, 2005:1). When we look at the data of the past years, there has been a considerable increase in the number of juveniles received into security unit regarding the reason of offence and the number of convicted children entering the juvenile penitentiary institutions [prisons] and the education center. As a result of the forecast studies, it has been observed that this increase will continue. The time series analysis method has been used in this study in order to carry out the forecasts on the number of juveniles regarding offence, escape from home and victim. Based on the assumption that the statistical characteristics of future data will be compatible with the historical data, the main aim in this point is to construct a time-series model by using the statistical features of the historical data of the system subject to modelling. It is also necessary for the model to provide sufficiently accurate data of the past as well as to identify the features that are more likely to be repeated in the future.

Regarding the foreseen abovementioned increase as a result of the juvenile delinquency forecasts, both the prevention and rehabilitation works in the short and long term shall be emphasized.

Given that the numbers will increase in Turkey, firstly the protection-prevention works primarily needs to be done, then the community-based treatment and rehabilitation of children related to the certain crimes under the institution's care should be carried out. It is obvious that the children's social-cultural-economic and health quality of life should be improved

and developed in order to change the direction of trend from this upward trend to the downward. For children who are charged with offence due to many reasons, as mentioned above, first of all, it is necessary to establish the permanent and predictable policies that can be accountable for long years, instead of the short-sighted solutions, based on children's rights, taking the need and demand of children. In the developing countries like Turkey, the traditional and daily social policy services have been carried out. In the phenomena of juvenile delinquency, the long-term social policy needs to be produced in order to direct the services produced in many areas including the health, social assistance and education services, which last for decades, are not instantaneous. Providing with such services will also be ensured by the use of evidence-based data.

For child offenders or child victims received into the security unit or the penitentiary institution, it is primarily important to relieve the trauma they may suffer. Specifically, the children who received into such institutions for the first time should be provided with the necessary psychological support. Then, based on the reasons of inception into these institutions like offence or victim, the appropriate rehabilitation activities should be carried out. The rehabilitation services should be provided by doctors, psychologists, social workers and forensic experts if necessary, etc. Another important point is the reintegration of juveniles' delinquents who are victims or charged with offence after the rehabilitation [stage]. The experience of stigmatization of juveniles who are victims or charged with offence may lead them to commit a crime again. In this vein, the judicial authorities have the crucial duties. It is important that the juveniles' records are kept confidential. In addition, the elimination of environmental factors that are driven to crime is important to ensure compliance with society.

Considering the global practices, the risk assessment scales are used in many countries in order to reduce the ratio of convicts staying in the penitentiary institutions [prisons]. These scales divide the convicts into specific groups according to the rate of risk they create; they are also used to refer convicts to arrest, release and improvement activities (Ögel, 2014). In order to perform the risk measurement, it has been emphasized that it is necessary to collect the supplementary information, to obtain detailed background information including personel history, and to evaluate the notes taken in the past on convict. In addition to these data, the use of professional assessments by the assessor subjectively makes the results more valid and effective (Austin, 2004). The improvement activities to reintegrate the convicts into society in the United States are summarized as the counseling, academic trainings, skills to work, programs to give up alcohol and drug use and anger control programs (New York State

Department of Corrections, 2015). In Australia, the cognitive skills development, anger control, programs to reduce drug and alcohol use, programs for sexual harassment and abuse and serious crime, and programs specifically designed for female convicts and domestic aborigines (Howells et al., 2004). In the Netherlands, the rehabilitation and improvement works are mostly carried out in closed [penal] areas (Ögel, 2014). In Germany, mostly the training needs are taken into account; receiving of convicts into the closed penitentiary institutions [prisons] is considered to be the last resort (Albrecht, 2002).

Another method that has started using nowadays is the Individualized Improvement System (BISIS). The purpose of the individualized improvement system is the implementation of specific treatment programs for each convicts based the state of him/her. It is aimed to use the scientific tools in the preparation of improvement programs, and thus to carry out the necessary measurement and evaluation (Ögel, 2014).

Considering the global [overseas] and current practice, the improvement [treatment] activities for juvenile delinquents should focus on improving in the society in accordance with their background, rather than putting them into the closed areas. In our country, such works can be said to come to the agenda currently (URL1). It is obvious that the proliferation of these works will play a very important role in the rehabilitation of juvenile delinquency.

Another important point is to reduce, in other words, to prevent the number of juvenile delinquents which is forecasted to increase in coming years. The primary responsibility for the prevention of juvenile delinquency belongs to the state. As stated in the Convention on the Rights of the Child (UNCRC), *the best interests of the child shall be a primary consideration* in all actions concerning children (UNICEF, 2006: 3). The prevention activities should focus on the causes of criminal offence by juvenile delinquents, and try to minimize them. The types of crime committed are also important at this point. In a study, it has been observed that whereas the psycho-social works are effective on juvenile delinquents who are push into crime because of individual reasons like drug use, the improvement of economic and societal conditions are effective in children who are pushed into crime due to the family and economic factors (Greenwood, 2008). Therefore, it is necessary to improve both individual and societal conditions in the prevention of juvenile delinquency.

Consequently, in Turkey, by recognizing the potential [possible] increase in juvenile delinquency in the future, and by considering the causes of juvenile delinquency to minimize it, all of the works concerning juveniles which has been performed and will be applied in the future and

the prevention activities should be implemented by the teams of relevant experts in an effective manner. At the same time, the staff working in the security units and penitentiary institutions should be informed about the possible increase and an adequate number of staff should be employed. In this regard, the employment of staff in accordance with their expertise is important. An adequate number of physicians, psychologists, social workers and forensic experts should be involved and coordinated in the institutions.

In fact, with the evidence-based use of data published in the field of social work, primarily in the field of juvenile delinquency, this study has aimed at forward-looking forecast analysis in order to produce social and political services to children. It has also been recommended that such evidence-based studies can be used in many areas to contribute to policy making in every sense. In order to provide services and prepare models for the special population groups such as women, the elderly and the disabled, the closer forecasted numbers to actual ones should be available. This kind of analysis gives us a tool in [making]/the production of social policy. Now when performing service production and policy making in Turkey, it has been necessary the use of evidence-based analysis that requires further analysis, not the traditional methods.

### **Acknowledgments**

We would like to thank Associate Professor Mustafa Agâh TEKİNDAL, who supported us in the analysis of the research.

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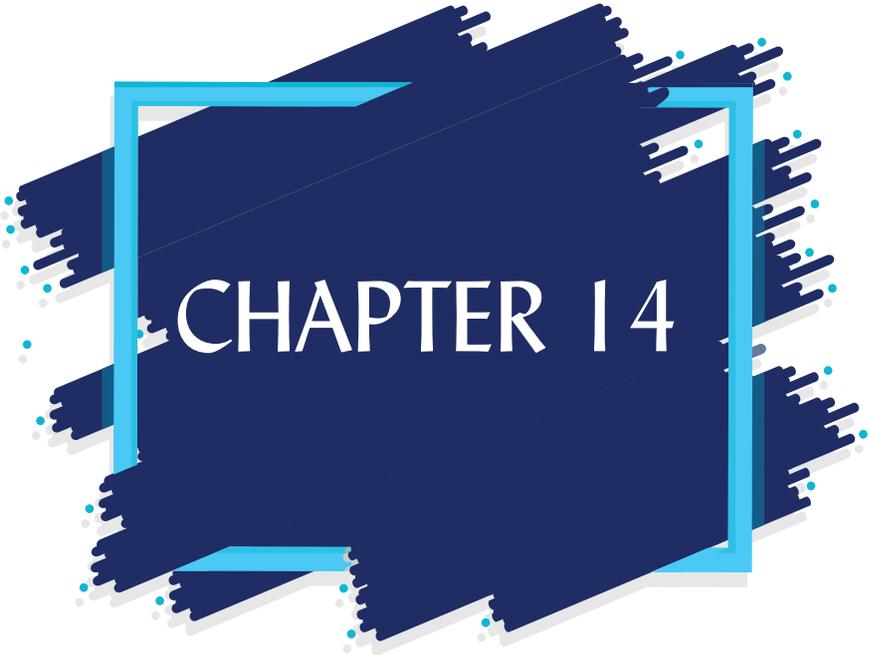
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# OBSTACLE TO TRANSPARENCY IN FINANCIAL REPORTING: FRAUDULENT FINANCIAL REPORTING

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## CHAPTER 14

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## OBSTACLE TO TRANSPARENCY IN FINANCIAL REPORTING: FRAUDULENT FINANCIAL REPORTING

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### 1. INTRODUCTION

Public disclosure and transparency is one of the tools employed for auditing and supervision of corporations in market economy. In addition, it provides information to public about the structure, activities and policies of corporations as well as their financial and managerial success. On the other hand, disclosures by corporation should prevent a damage to corporation's own interests and refrain from making commercial secrets of corporation public. Legal and managerial pressure over corporations through laws and regulatory authorities alone will not be enough for an efficient public disclosure. It should be kept in mind that, as revealed by many studies in literature, public disclosure by corporations is a beneficial activity rather than a nuisance for corporations to reach their aims. It should be mentioned that transparency could help the provision of a sustainable and low-cost capital flow and provide much needed confidence to domestic and international investors. In this respect, corporates should be transparent and accountable to build confidence.

It seems that public disclosure by a corporation is not sufficient alone in ensuring the transparency. Therefore, transparent, reliable and comparable financial information is closely associated with the availability of accounting practices based on efficient rules and standards, which could allow evaluation of corporate activities and risk profiles on equal conditions. Accordingly, it should be mentioned that use of Accounting/ Financial Reporting Standards is necessary for presenting transparent and accountable public disclosure of financial information. In addition, for the reliability purposes, financial information and reports need to be subjected to independent auditing.

Since the purpose of financial reporting is to provide information users with useful information, thereby ensuring them to take more accurate decisions, preparation and representation of financial reports should take into account certain quality aspects. Correctness, reliability, openness, transparency and comparability of data in financial reports are crucial in accurate and realist decisions by information users. With this respect, financial reports are meaningful to the extent that they reflect the real situation. In case of fraudulent financial reports by corporations,

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many parties such as investors, corporate owners and their employees as well as state, creditors and all others with commercial relations with the corporation will be damaged.

Decisions by investors about a corporation are associated by the information they can or cannot reach, i.e. transparency level of the corporation and financial and non-financial information. Decisions by investors are affected by transparency level of the corporation and quality of their public disclosures. Consequently, corporations could positively affect the decisions of investors when they present informative and transparent public disclosures. As a result, financial performance of corporations could be positively affected by a transparent management and financial structure through which they can obtain capital more easily.

In the present study, fraudulent financial reporting prepared by violating Relevance and Faithful Representation principle of Financial Reporting Standards outlined in Conceptual Framework, which is considered to have constitutional role for financial reporting standards, was studied. First, transparency in reporting and its tools were examined. Then, the difference between fraud and error was made, and the reasons for resorting to frauds in financial reporting and methods used in fraudulent reporting were outlined.

## **2. Transparency**

Transparency principle is an efficiently operating component of corporate management system. Corporate discourse/transparency towards both the shareholders and beneficiaries of corporations is the main tool for making corporations transparent (Solomon, 2007: 143). Transparency principle refers to disclosure of information and resulting global value for accessing this information. This means that authorities have the “responsibility for disclosure of information” and that all stakeholders of the corporation have the “right to know”. Transparency is not a value for itself, but is a part of information-value systems which also includes its counter values (Holzner, 2007:5079).

With this principle, faithful, sufficient, open and comparable information, excluding commercial secrets, about the basic issues of partnership such as financial situation, performance, ownership and management structures is disclosed to public in a timely manner. Thus, partnership is ensured to operate within the knowledge of all current and future parties. Besides, shareholders, other parties and potential investors could feel confidence towards the partnership (Pasi, 2004:74).

Public disclosure and transparency principle aims to make public the financial and non-financial information, other than the information public has no right to access such as commercial secrets of corporation, in a timely, faithful, complete, comprehensible, analyzable and easily accessible manner with low cost (Pamukçu, 2011:136, SPK, 2005).

Being the major feature of corporate information environment, transparency is defined as the disclosure of needed and reliable data about financial position, investment opportunities, structure and value and risks of corporations (Bushman and Smith, 2003:76). Kılıç (2008:2) explained transparency and public disclosure as the presentation of financial and non-financial information of a corporation to its investors and beneficiaries in a timely, complete, understandable and analyzable manner, also considering rights and interests of the corporation.

Transparency International, on the other hand, defines transparency as “making decisions and implementing them in accordance with the rules and regulations, ensuring the access to information by people who are affected by the decisions, and the principle that this information is accessible, understandable and clear” (Transparency International). As a result of increasing economic and commercial activities among countries along with globalization, international regulations such as Financial Reporting Standards and Auditing Standards, which corporations have the obligations to comply with, have become more important. Accounting scandals such as Enron, Parmalat, Worldcom, Xerox and Tyco International that have emerged in the last three decades have led to a reconsideration of accounting practices. As a result, corporations started working to produce more accountable, informative, sufficient, open, understandable and reliable financial information (Mortaş and Şamil, 2017:16).

Corporations are responsible for providing their stakeholders and public with financial and non-financial information. It is crucial that presented information is open, easily understandable and accessible. Therefore, corporations need to establish and develop the conditions for corporate management concept to achieve and sustain the confidence of investors. Improving the transparency and public disclosure is at the heart of corporate management concept since it involves all sections of economy. The aim of the corporate management is sustainability, which can be achieved by adoption and application of transparency principles by corporations. Transparency and public disclosure can be ensured by International Accounting and Financial Reporting Standards and independent external auditing (Pamukçu, 2011:134).

Based on Public Disclosure and Transparency principle, corporations should use simple concepts and terms as much as possible in their disclosures to allow a better understanding. When the use of concepts and terms that cannot be easily grasped are needed, explanations that can be understood by everyone should be provided and information should be presented to public in an unbiased manner. Disclosure of information that addresses to only one or some of the involved parties in the corporations is not acceptable, and it also conflicts with the Social Responsibility Concept of accounting (SPK, 2005).

### **3. Transparency for Financial Reporting**

Transparency for financial reporting means timely disclosure of sufficient, accurate and comparable information about financial performance, management and shareholder structure of a corporation. A faster and more efficient information flow from corporation to beneficiaries is aimed by transparency principle (Paşlı, 2004:250). Accessible, clear and understandable knowledge about the conditions of a corporation are the necessities of transparency principle (Dinç and Abdioğlu, 2009:160). Transparency principle contributes to an efficient distribution of resources in countries where it is used. In addition, it could be stated that transparency has considerable impacts on productivity and growth (Alparslan, 2002:5).

Without a flow of regular, reliable and comparable information, investors cannot evaluate the general outlook of corporations and consequently cannot make healthy choices among various investment decisions. Public disclosure and transparency is the major tool used in auditing and supervision of corporations. It also presents information to public about performance of the corporations as well as their structures, activities and policies. Therefore, disclosure of information to public needs to be strictly regulated. In addition, disclosure made by the corporation to public should not harm the interests of corporation and should not reveal its commercial secrets. For an effective public disclosure, legal and administrative pressure on corporations by laws and regulatory authorities will not be sufficient alone. In order to reach the desired aims, corporations should regard public disclosure as an advantage rather than an obligation. It is a way of attracting capital in long term, and is achieved by building the necessary confidence for domestic and international investors (Mortaş, 2011:6). Transparency and accountability of corporations are needed to establish this confidence.

Transparency was first appeared in Principles of Corporate Governance which were prepared by national governments in OECD, involved international institutions and private sector in 1999 and subjected to a final

revision in September 2015. Transparency has been considered together with public disclosure since 2004 revision of Principles of Corporate Governance. Based on these principles, Public Disclosure and Transparency is one of the principles in corporate management framework, which aims to ensure correct and timely explanations of all issues involving corporations including its financial situation, performance and ownership structure. Such an approach made the principles a basic international resource (OECD) for decision makers, investors and other corporate shareholders throughout the world. In other words, as a result of what have been mentioned above, importance of Transparency and Public Disclosure principle has recently increased the capital market.

Public disclosure alone is not enough for ensuring the transparency, and tight accounting rules need to be established. Reliability and comparability of the knowledge is closely associated with the availability of accounting practices based on efficient rules and standards which allow the evaluation of activities and risk profiles of firms on equal conditions (Türkiye Bankalar Birliği, 2002:7).

Embracing the transparency and public disclosure at corporate level is important for protecting the rights of investors and ensuring the confidence of society. Corporations could improve their corporate transparency level through following the internationally accepted principles and guiding principles. Corporate transparency and public disclosure is closely associated with accounting practices. Indeed, reliable, comprehensive, appropriate and comparable charts could only be prepared by the adoption of internationally accepted accounting/financial reporting standards (Arsoy, 2008:17).

In “Conceptual Framework related to Financial Reporting”, which has constitutional role in establishing Financial Reporting Standards, the first item under the heading of qualitative features of useful knowledge (KGK, Kavramsal Çerçeve, 8) clearly indicated that for financial reports “*Basic quality considerations are relevance and faithful representation*”. It has been particularly stressed in basic qualitative attributes section that financial tables should contain transparent and informative knowledge for public that can help financial table users in their decision-making process. Faithful representation has been defined in Conceptual Frameworks as: “*In order for financial knowledge to be useful for users, its representation of involved events only is not sufficient. It should also faithfully represent the economic happenings that it aims to disclose. Ensuring a faithful representation has three characteristics; it should be complete, unbiased and error-free.*” It has been strongly stressed that being error-free is not enough for a public disclosure and that it also should be unbiased. Thus,

all the standards needed for a public disclosure of an informative and transparent financial table have been generalized.

It has been mentioned in conceptual framework that a full representation should include all information needed by a user to understand an occurrence including descriptions and explanations. On the other hand, in TMS-1 Representation Standard of Financial Tables (KGK, TMS-1, 5), it has been mentioned that the aim of the financial tables is to provide information about financial situation, financial performance and cash flow of a corporation, which could help in economic decision making of a large user population. However, it has been outlined in the same standard that financial tables should show the efficiency with which managers use the resources allocated to them. In essence, it has been stressed that in case of a full and faithful implementation of Accounting and Financial Reporting Standards, financial tables will provide transparent and informative knowledge for public, and accountability will gain strength.

In order for corporations to disclose a more transparent, informative and accountable financial information to public, Accounting/Financial Reporting Standards need to be implemented. In other words, it could be stated that even if a corporation using Accounting/Financial Reporting Standards provide faithful, timely and comparable financial knowledge in financial reports, reliability of provided information for the financial information user may not be satisfactory.

Reliability level of financial reports could be expressed by way of independent auditing. In other words, another important element needed for verification of the transparency and informativeness of presented financial reports and activity report for the public and for ensuring the confidence of stakeholders is independent auditing report. Independent auditor takes Independent Auditing Standards and Generally Accepted Auditing Standards as guide in continuation of auditing activities and preparation of the report.

Especially accounting professionals and scholars know that accounting and auditing are closely associated concepts. That is because auditing cannot exist without accounting, and need for auditing brings with it the need for accounting. In short, auditing without accounting is baseless, and accounting without auditing is without checksum (Uzay et al., 2009:127). Auditing, on the other hand, ensures the reliability of accounting practices and protection of standards through some norms and codes. Realization of this significant task is related to the efficiency and effectiveness levels of both internal and external auditors and auditing committees. Therefore, it could be mentioned that nature of auditing plays the leading role in

improving the accounting quality and financial transparency as well as in reaching its aims (Abay, 2013:166).

One of the major accounting scandals is Enron incidence. Involvement of Arthur Anderson, one of the largest auditing firms in the world, in Enron fraud undermined the confidence in auditing, because as mentioned above one of the major aims of auditing is making financial tables reliable. A similar situation happened in Turkey in İmar Bankası incidence, which has damaged the confidence of investors in Turkish markets. One of the most fundamental aims of auditing activities is to lower the risk from erroneous or fraudulent information and to minimize irregularities made by managers in financial reporting. It has been known that frauds and irregularities take place in firms when the auditing quality is poor (Terzi et al., 2014:194).

Survival of corporations against their rivals could only be possible through an honest and reliable management approach. This, in turn, could be ensured with “corporate management”, a management method which harbors basic tenets such as transparency, accountability, responsibility and fairness. Among the major causes of financial crises and accounting scandals experienced are erroneous management policies and frauds in financial tables. These problems could be eliminated by a full implementation of corporate management by corporations and by a realist and faithful auditing of corporate financial tables by independent auditing firms. Although the auditing practices of independent auditing firms vary to some degree by countries, Independent Auditing Standards have been accepted and practiced all over the world (Güler, 2011:96).

The possibility of errors and inaccuracies in financial tables make it difficult for the users of these information to trust the information from corporate management, compromising the decision process based on this information. Independent accounting has an important role in establishing the reliability and accuracy of financial and non-financial information used by financial information users in their decision making (Sayar, 2016:239).

#### **4. Fraudulent Financial Reporting**

The Turkish Language Institution defines fraud as “*trick, cheating or hoax to deceive or mislead someone or adulteration to make an unfair gain*” (The Turkish Language Institution, 2005:891). Accordingly, fraudulent financial reporting consists of acts to distort the amounts in financial table items using various accounting methods with the aim of deliberately deceiving financial table users (Doğan and Kayıran, 2017:170).

Error in accounting procedures is defined as mathematical errors in financial reports and accounting records or something which goes unnoticed and unintentional false representation of information. Fraud, on the other hand, is attempting to get unfair gain through intentionally misuse or practice with assets and resources of a corporation (Doğan and Nazlı, 2015:196).

Accounting mistakes could be categorized as forgetting, placing in wrong account, arithmetical mistakes, duplicate errors, transfer errors, principle errors, etc. On the other hand, accounting frauds have intentional human actions. Examples of such frauds are the ones that involve checks and credit cards, investment, cash advance, money laundering, etc. (Dumanoğlu, 2005:351).

Reasons for fraudulent financial reporting could be grouped under three headings: weak institutional structure, strong internal and external pressure and weak internal control structure (Küçük and Uzay, 2009:241). Financial table frauds could be in the form of increasing the active items and income-producing items and decreasing the passive items in the balance, and sometimes, on the contrary, in the form of increasing passives in a high-income period, after which such a profitability is not expected, or keeping the profit items in some interim account items (Çıtak, 2009:18).

In terms of independent auditing, there is a distinction of whether the fraud was committed by corporate employers or by corporate management (Küçük and Uzay, 2009:241).

- i. Embezzlement of assets (misuse of assets)
- ii. Fraudulent Financial Reporting

The first of them is defined as fraudulent procedures by corporate employers, while the second is termed as fraudulent procedures by corporate management.

Frauds by corporate employers are more frequently in the form of misuse of assets. Most assets in corporate actives are vulnerable to theft and consequently to frauds. Among frauds in the form of misuse of assets are embezzlement of assets, theft of available assets and stocks, fictitious payments, bribes and personal use of assets (Okutmuş and Uyar, 2014:39). The focus of the present study was fraudulent financial reporting rather than misuse of assets. The main reason for this is the fact that fraudulent financial reporting results in more damage to corporation and economy compared to other frauds as explained in the report of Association of Certified Fraud Examiners-ACFE (ACFE, 2018).

The pressure that can lead to frauds in financial reporting could arise from sudden revenue decreases in corporation or in the sector where the corporation operates, or from market share contraction. Budgets prepared without considering the actual state of the corporation could lead to unrealistic expectations. Unrealistic expectations, in turn, create pressure on corporate management in short term and could result in fraudulent financial reporting (Demir et al., 2019:113).

The reasons for frauds could be divided into two groups in terms of defrauders and the aim of fraud. On the other hand, the subject of the fraud could also change by defrauder. In addition, environment, conditions and opportunities for defrauding may not be the same for all employers (Doğan et al., 2018:67). In a study by Kassem and Higson (2012:192), three conditions, called the fraud triangle, have been mentioned for a fraud to take place in an environment. These were *Pressure*, *Rationalization* and *Opportunity*.

Financial reporting frauds by corporate management which could benefit only themselves or corporate owners but damages considerably all other people/institutions could be categorized in two groups (Çatıkkaş, 2011:8).

- Arrangements showing the corporation better than it actually is
- Arrangements showing the corporation worse than it actually is

Financial reporting frauds are making wrong declarations about financial structure/situation of a corporation through deliberate misrepresentation or skipping the amounts or produced results in financial reports with the aim of deceiving the financial information users. Accordingly, some of the reasons for fraudulent financial reporting are as follows (Çıtak, 2009:18):

- To reach projected profits of the corporation
- To solve business problems preventing credits
- To eliminate negative market perceptions
- To earn performance-related bonuses
- To increase the profits per increased share or partnership profit benefits
- To meet the aim and targets of the corporation
- To accelerate the investments through sale of shares.

Selimoğlu et al. (2017:356) mentioned that fraudulent financial reporting is carried out with the following activities:

- i. Destroying and/or changing the accounting records or supplementary documents that form the basis of financial reports, or creating false documents.
- ii. Intentional skipping or misrepresentation of events, procedures and other important happenings that need to be represented in financial reports.
- iii. Deliberately erroneous implementation of accounting principles during recording, evaluation, classification, representation and explanation with footnotes of events, procedures and other important happenings that need to be represented in financial reports

## **Conclusion**

Fraudulent financial reporting means that a corporation lost its transparency and accountability and that it made an unfaithful representation. On the other hand, it is mentioned in Conceptual Framework that corporations should make full, faithful and unbiased disclosures.

Corporations must establish efficient internal control systems to prevent fraudulent financial reporting. In case of detecting frauds in financial reports, defrauders should be given due penalties and resulting damage should be compensated. Also, the internal control system leading to the fraud should be reconsidered and its problematic parts should be corrected.

Fraudulent financial reporting could result from corporate management as well as from corporate employers. Availability of an internal auditing unit, efficiency of internal control system and an independent auditing process could be effective in eliminating the frauds committed by corporate management. It has been observed that in efforts to prevent and detection of fraudulent financial reporting, denunciation mechanism has an important place in detection of fraudulent financial reports. Denunciation is especially important in prevention of frauds committed by corporate employers.

In the present study, fraudulent reporting as an obstacle to transparent financial report representation was studied. Transparency and accountability was primarily examined for this aim. Then, transparent and accountable financial reports as well as fraud and fraudulent financial reports were discussed. In the context of fraudulent financial reporting, fraudulent financial reports, defrauders and the reasons for making unfaithful representations were examined.

Transparency, also defined as living of corporation in a glass house, is to disclose correct, reliable, complete, understandable, interpretable, easily accessible and low-cost information to all its shareholders. Transparency of a corporation is disclosure of financial and non-financial information excluding commercial secrets to public. One of the main obstacles to transparency is fraudulent financial reporting. Misuse of assets is also another way of fraudulence but fraudulent financial reporting involving monetary values results in more damage to all shareholders of a corporation.

The present study is a review study, not an empirical one, and lack of an empirical construct constitutes the main limitation of the study. Therefore, future studies could deal with the possible procedures to detect and prevent fraudulent financial reporting.

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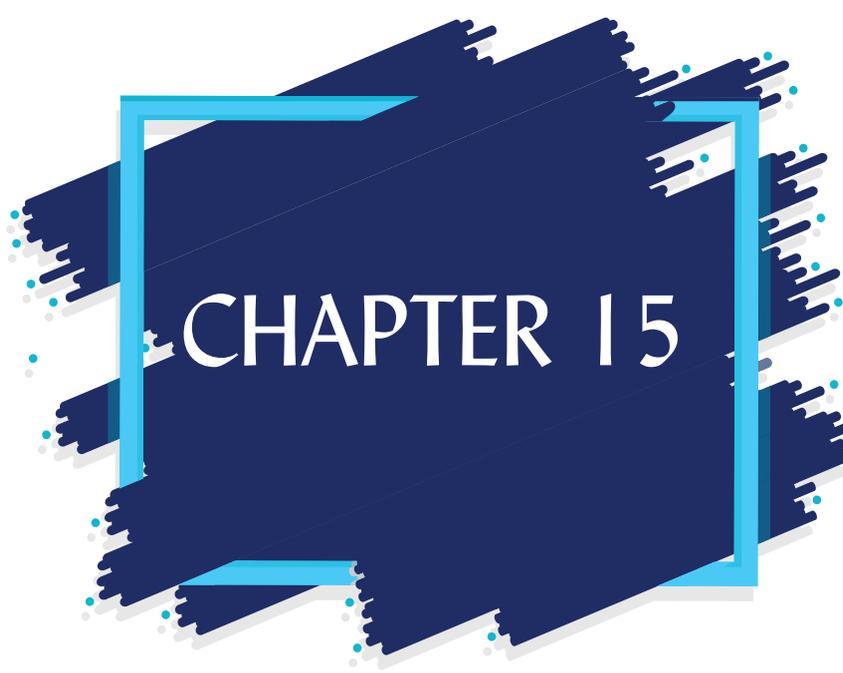
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# **POLITICS IN THE POST- INDEPENDENCE UZBEKISTAN: THE IDEOLOGY OF NATIONAL INDEPENDENCE, CLANS AND AUTHORITARIANISM**

**Mustafa Murat YURTBİLİR<sup>1</sup>**



## **CHAPTER 15**

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# **POLITICS IN THE POST-INDEPENDENCE UZBEKISTAN: THE IDEOLOGY OF NATIONAL INDEPENDENCE, CLANS AND AUTHORITARIANISM**

**Mustafa Murat YURTBİLİR<sup>1</sup>**

## **1. INTRODUCTION**

Uzbek identity and the ‘national form’ of the Uzbek state had been established by Soviet rule. The class of bureaucrats and technocrats who were the products of the Soviet modernization of 1930s had been recruited together with the clan leaders by the communist administration and in return they implemented the ideological rhetoric and practices of the Soviet Marxism. The unexpected independence in 1991 forced the local elites to rely on the Uzbekness which had been already standardized and promoted in the Soviet period. They had to deal with the extensive and powerful clan networks together with the ideological legitimation crisis.

The paper deals with the official ideology of Uzbekistan under Islam Karimov after the independence, “the ideology of national independence”. In the very beginning, the clan networks on which the Uzbek style of clientelist politics lay will be outlined, as well as a short overview of the conditions preceding the independence. Also outlining the main features of the ideology of national independence such as the unity of all powers which was endorsed by the President, and a continuous perception of threat and the accompanying obsession of stability and security will be examined. The argument is that the new ideology was created to replace the ideology of communism in its Soviet version, with an Uzbek national formula but it serves as a disguise to cover the Uzbek nepotism and authoritarianism based on clan networks.

## **2. New Khan over Clans**

Clans proved to be the most durable and flexible social unit in Central Asia. They were most durable because the rank within a particular clan, together with the status of any clan among numerous competitors have been the chief norm of political ascendancy since prehistoric times. The clans have also been the most flexible units owing to their ability to survive and keep on functioning under diverse regimes like tribal nomadic confederations, great empires, archaic feudal khanates, the Soviet Marxism, and lastly autocratic nation-states. The term may immediately bear the blood tie in mind, a relatively narrow group of extended family all

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linked consanguineally. However, Uzbek clans should be conceptualized as “regional solidarity networks” (Zartman: 2004, 28) consisting of lesser clans as well and natives of the specific regions bound to the clan via nepotism and patrimonial links. Expressions such as “solidarity groups” (Naumkin: 2006, 127-40) and “informal authority structures” (Gleason: 1991, 618) indicate that clan meant more than a genealogical tie. It is rather a group-identification around a specific place of origin with the expectation of favouritism. A clan is normally larger than a family as Collins (2004, 232) noted, ranging from “two thousand to twenty thousand individuals”. Collins (2003, 187) observed elsewhere that “clans seemed deeply rooted in both the informal (village) and formalized (kolkhoz) socio-economic structures”, even acting as the ultimate source of authority, especially in the villages.

In Uzbekistan six separate regions exist with their distinct clannish networks: (1) Tashkent, the capital and the main industrial centre, (2) Ferghana, most densely populated region producing the main crop of the country, cotton, (3) Samarkand and Bukhara, two historical centres of ancient civilization, (4) Surkhandarya and Kashkadarya, briefly named as the Sur-kash, the least developed regions in the southernmost part of the country, (5) Khorezm, the site of ancient Khivan civilization which is separated from the rest of the country by deserts, and lastly, (6) Karakalpakstan Autonomous Republic (Fane: 1996, 278). While the clans from the first three of the above-mentioned regions, Tashkent, Ferghana and Samarkand/Bukhara were traditionally the strong contestants for power, clans stemming from Sur-kash, Khorezm, and Karakalpakstan were largely excluded from the political struggles of the capital. Throughout the Soviet years the two most powerful posts of First Secretary of Uzbek Communist Party and Chairman of the Council of Ministers switched among representatives of Tashkent, Ferghana and Samarkand regions. Sharaf Rashidov from Jizzakh, northeast of Samarkand, was the Secretary of the Communist Party from 1959 to the Cotton Affair of 1983. Furthermore, more than one “politically influential” clan might stem from a single region like the Jurabekov and Rashidov clans of Samarkand, and the Alimov and Sultanov clans of Tashkent, although all operate within their well-specified spheres of socio-economic activity (Şir: 2007, 117).

Under normal conditions the announcement of Islam Abdu’ganiyevich Karimov as the new Uzbek party leader in June 1989 would have been unexpected since the “new boss” was a nameless party apparatchik for most Uzbek intelligentsia. At the time of his appointment Karimov was the First Secretary of distant Kashka-Darya oblast to where he was exiled in 1986 from the post of the Ministry of Finance. An economist by training

Karimov was serving as a non-political bureaucrat at the Ministry of Finance since the early 1960s (Lambert: 2004, 273-75). Moreover, although he had an affinity with Rashidov clan through his birthplace Samarkand, Karimov was an outsider for the dominant clans and power networks. After the Ferghana riots of 1989 discredited General Secretary Nishanov, Uzbek elites, most notably the leaders of the Jurabekov, and Rashidov clans of Samarkand, the Alimov and Sultanov clans of Tashkent, the Gulomov and Azimov clans of Ferghana together with Shukrulla Mirsaidov a prominent member of Tashkent elite linked to city's clan network had come to an agreement around the name of Karimov for the post of First Secretary (Şir: 2007, 117). Uncomfortable with the *krasnyi desant*<sup>2</sup> and resulting deterioration of their status, clan leaders sought a neutral non-clan person acceptable to Moscow who would also be responsive to clans' demands. Two most powerful figures representing Samarkand and Tashkent groups, Ismail Jurabekov and Shukrulla Mirsaidov respectively, organized the accession of Karimov.

Hence Karimov's rise to power in 1989 had much in common with Rashidov's accession in 1959. An extraordinary situation of political turmoil, numerous purges and intervention from Moscow that threatened the balance among clans and forced clan leaders to approve for the moment the non-aligned Karimov. Thus, the new First Secretary was a "legitimate power broker" (Collins: 2004, 224-61), who was temporarily let to govern and possibly seen by clan leaders at the outset as "their puppet" (Kılavuz: 2007, 134). However, similar to Rashidov, throughout the following quarter century Karimov managed to stay in power by cleverly balancing clannish interests. Particularly in the first days of the independence, Karimov's cadre policy signalled a return to the clan balance firmly established in Rashidov's long tenure. All clan leaders were given influential posts in the government. Ismail Jurabekov, who had been the Minister of Water Management under Rashidov, was appointed as the Minister of First Deputy Prime Minister responsible of the Water Resources. Timur Alimov who was the Chair of Tashkent Oblast Executive Committee during the Rashidov rule became the President's Advisor. Shukrulla Mirsaidov, the ex-mayor of Tashkent city, initially appeared as the most powerful person after Karimov, became first the Prime Minister then the Vice-President. Last but not the least, Abdulaziz Kamilov, a relative of Rashidov who was previously serving as a senior official in republican KGB, was fixed as the Minister of Foreign Affairs (Ilkhamov 2007, 83).

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2 Literally means "red landing", a term used for landing of several thousand non-Uzbek, mainly Russian officials by Moscow to replace the native bureaucrats after the corruption scandal, Cotton Affair of 1983.

Karimov quickly fostered a specific clan for his own power base. He re-established Rashidov's Jizzak oblast and revived the severely hit clan network of Rashidov for his own purposes. At the same time Karimov initiated the crusade to rehabilitate Rashidov as it was in the late 1990s: The Lenin Street was renamed as Sharaf Rashidov Street, a bust of him was placed in the centre of Tashkent and his 75th birthday was celebrated cheerfully with the participation of Islam Karimov (Melvin: 2010, 44-5, Adams: 2010, 32). Meanwhile the ruling clan alliance turned out to be shaky as the Tashkent group led by Vice-President Shukrulla Mirsaidov appeared uneasy with the ever-increasing weight of Karimov's Samarkand/Jizzak clan in the bureaucracy. Karimov found the golden opportunity to debase Mirsaidov in 1991 after the failed August coup in Moscow. Through a series of judicious manoeuvres against the Tashkent clan he succeeded to marginalize Mirsaidov. First on August 24 Karimov resigned from the Communist Party of Uzbekistan and then nationalized all property of the Party. Next, he revised the ruling party with a new name, People's Democratic Party with a new central committee (Lambert: 2004, 277-78). Lastly on August 31 independence of Uzbekistan was declared. In October 1991 Mirsaidov's response came: 200 deputies of the Uzbek legislative mostly from Tashkent region signed an open letter and demanded Islam Karimov to resign. In addition, student demonstrations erupted in Tashkent seemingly due to the economic situation where there were high prices for goods. These demonstrations were organized by Mirsaidov's clan network (Spechler: 2007, 195). Fane (1996, 281) argued that the struggle continued for several months since the opposition of the powerful Tashkent clan was the first real threat to Karimov's rule. Finally, in January 1992 Karimov deposed Mirsaidov from Vice-Presidency and appointed him to powerless post of State Secretary. Mirsaidov resigned from the post and eventually was forced out of politics due to continuous physical attacks and his conviction of corruption which prevented him from appearing as candidate in the forthcoming Presidential elections (Melvin: 2010, 31).

The elimination of Mirsaidov however could not set Karimov free from clan politics. On the contrary in the absence of any meaningful democratic procedures Karimov's regime continued to be dependent on major clans. Ismail Jurabekov, who was the master figure in Karimov's nomination to the post of First Secretary, obtained the lion's share of nominations for his Samarkand based clan. The Grey Cardinal's clan<sup>3</sup> had been dominant in Uzbekneftgas and managed the import and export of country's gas and oil. Nearby this vast fortune the clan had also hegemonic control in the bazaars and in the cotton complex. Alimov clan of Tashkent was in charge of the finance system of the country including "the Central Bank and many

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3 Jurabekov's clan was nicknamed as the grey cardinal's clan.

joint venture banks based in Tashkent”. Nicknamed as the “Grand Timur”, Timur Alimov had also monopoly in the country’s shadow economy. The spheres of Alimov and Jurabekov clans left aside, most of the remaining government posts and fiefdoms were distributed via the network of Karimov’s own Jizzak/Rashidov clan (Şir: 2007, 119). Only once Karimov tried to crack down “the clan pact”, when in 1999 he attempted to dismiss Ismail Jurabekov from his governmental post and then purge his entire clannish network as he had previously ousted Mirsaidov (Collins: 2004, 253). However, days after Jurabekov’s ousting, Karimov narrowly escaped an assassination attempt in Tashkent. After back-door negotiations Jurabekov was surprisingly reinstated to his ex-post in the government. Although the Uzbek government openly accused Islamic groups related to Turkey for the assassination; local people in Tashkent were speculating that Jurabekov’s men were the organizers (Cornell: 2000, 131-2).

Once in power Karimov had no choice but to show himself as a powerful khan on the top of the league of clans. The khan who inevitably relied upon a specific clan would favour his own power base but should also maintain a viable balance between major clans in the distribution of posts and resources. Ilkhamov correctly claimed that Karimov’s rule was “less stable than it might appear to an outside observer” (Ilkhamov: 2007, 161). Whilst major clans should continuously be satisfied through economic and political concessions, the crack in the fragile balance between Tashkent, Samarkand and Ferghana might cause severe conflicts and produce potential contenders. “Clans are the first thing I think when I get up in the morning” Karimov was reported to say (Seiple: 2005, 254). The regime’s legitimacy had always been dependent informally on only Karimov’s ability to keep the clan pact intact.

### **3. New Grand Narrative: Ideology of National Independence**

Whether just as phony rituals or due to sincere ideological enthusiasm all cadres of Uzbek elite and certainly Karimov in person were piously practicing Marxism-Leninism until the very last minute before the dissolution of the Soviet Union in 1991. Like all of his fellow countrymen, Karimov was exposed to the official Soviet ideology which was alleging that the Soviet Union was the *telos* of the history, realization of the truth, the end of all class inequalities, and Uzbekistan SSR was the embodiment of the Uzbek proletariat, workers, farmers, and ‘progressive’ intelligentsia. Forty years career as an Uzbek apparatchik-technocrat surely required annual participation in the Worker’s Day Ceremonies on every May 1, and then as the First Party Secretary, delivering thrilling speeches on the brotherhood of the toiling masses. His bureaucratic career required serious

ideological service under the silver hammer and sickle of the Uzbek SSR flag, all for the Soviet Marxism-Leninism, the regime legitimator. He repeatedly saluted Lenin and the communist ideology for forty years, invited the workers of the world to unite, and pretended to pay the same workers pretending to work at a state farm<sup>4</sup> and certainly benefited from the teachings of the Institute of Marxism-Leninism. Moreover, while eschewing all ‘nationalist bourgeois deviations’, Karimov had to pass the scientific atheism course in order to graduate from the university. In November 1986, when Gorbachev was insisting on “a determined and pitiless combat against religious manifestations in Central Asia” (Ramet: 1993, 33) in a Tashkent visit, Karimov as the First Secretary of the Kashka-Darya oblast was in all probability among the applauders. In addition, he contributed to the illusionary hike of cotton production of the Rashidov years and turning a blind eye was conceivably among Karimov’s ideological duties in his long years at the Ministry of Finance.

Right after the collapse of the Soviet Union 1991 and the subsequent discrediting of the Soviet Marxism-Leninism, Karimov was among the first to feel the ideological vacuum. There was an urgent need to reinstall a novel narration to legitimate the new situation. Facing the popular nationalist opposition of nationalist *Birlik* and ever-increasing appeal of Islamic messages in Uzbekistan, Karimov had to create an alternative formula for legitimation. Since the state apparatus was inherited from the Soviet rule as a whole and used to be legitimate under the banner of then discarded Marxism-Leninism, his regime was extremely viable to the twin “pan” challenges of pan-Turkism and pan-Islamism. All the cadres were almost the same since the purges after the Cotton Affair of the mid-1980s. Hence the deputies of the ex-Supreme Soviet, the members of the now defunct Presidium, the ex-party secretaries of *oblasts*, *obkoms*, *raions*, and, of course Karimov himself, had to justify their position in line with a new grand narrative. This new narrative should be subtle about nationalist demands but be strictly defined as *O'zbekchilik*<sup>5</sup> avoiding any aspirations beyond the borders of Uzbekistan. In addition, the new ideology should also incorporate Islam but in a secular and local version. Nearby supra-national “pan” alternatives, the new legitimacy base which had to be congruent with the national lines, should cover up competing political and economic demands of clans, tribes, regions and also provide “a mechanism for dealing with border disputes” (DeYoung, Santos: 2004, 69).

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4 It is a well-known Brezhnev era joke from the mouth of workers: “they are pretending to pay us; we are pretending to work”.

5 Uzbekism.

Article 12 of the Uzbek Constitution of 1992 maintained that no ideology would have been granted the status of state ideology and the “public life would develop on the basis of the diversity of political institutions’ ideologies and opinions”. The outwardly liberal article implied that diversity of competing ideologies would be the norm in Uzbekistan and no ideology would be permitted to establish hegemony similar to Marxism-Leninism. Writing as late as 2004, Pottenger (2004, 61) naively believed in Karimov’s statement that “human values, universally recognized norms of genuine democracy, freedom and human rights” would ensure legitimacy for the Uzbek regime. After all, following suit with Article 12, Karimov had explicitly rejected “adherence to a single ideology” and declared his faith in “ideological diversity based on principles of morality and humanism” (Pottenger: 2004, 61). But even the “official intellectuals” of Karimov’s court were well aware of the need for an instrumental ideology, a mast for bureaucracy to be rivetted, an eclecticism for the Uzbek literary to be toyed with and a gizmo for Uzbek youngsters otherwise to be targeted by so-called alien ideas. Uzbekistan Council for Research in Values and Philosophy published volumes of pseudo-philosophical works under the supervision of Said Shermukhamedov once the Minister of Education, to advance President Karimov’s suggestion for the revival of “national-spiritual culture as the most important factor in social progress” (Shermukhamedov: 2008, 3): “The creation in Uzbekistan of an ideology of national independence is founded upon national origins, language, customs, traditions and human values” (Tukhtaev: 2008, 48). Abdulkhafis Jamolov, the Director of the Philosophy and Law Institute identified the need for a new ideology in early 1993:

“We should carefully think over and elaborate the future ideology, which would best meet the national psychological spirit of Uzbekistan’s people and which would meet the requirements of the political situation” (Yalçın: 2002, 86-7).

Karimov was also fully conscious at the outset of the necessity to frame a novel base of legitimation and maintained that “the state system, its operation and accompanying policies should above all be constructed on the basis of a concretely formulated ideology” (March: 2003, 373). Elsewhere he repeated that like every nation caring for its survival the Uzbek nation should also have an ideology of its own (Schlyter: 2007, 19-21). The decisive phrase in this statement was “of its own” since Karimov’s *milli mustaqillik g‘oyasi*<sup>6</sup> was portrayed as the sum of innate values of the Uzbek people, the reflection of sanctified natural order in the Uzbek land and also as the culmination of centuries however distorted

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6 Ideology of National Independence”.

temporarily by the alien Soviet ideology. Thus, the connotation of the word “ideology” in the Constitution does not embrace *milliy mustaqillik g‘oyasi*, and the diversity of opinions and the competition between ideologies. The ideology of national independence was blessed, in March’s words, as “pre-political consensus which is necessary to be accepted before entering into competitive politics” (March: 2003, 211) and from where any political and socio-cultural opinion should originate. As Karimov insisted the practical needs of nation-building required the Uzbek elites to construct independent statehood on the native values of Uzbekistan while purging elements of foreign Marxism-Leninism:

“The necessities of national culture and spiritual revival, socio-economic and political renovation of the state structure, sovereignty and independence strengthening have brought us to the national independence ideology” (Yalçın: 2002, 87).

Ghelman Akhmedov, (2009, 6) senior lecturer at the National University of Uzbekistan argued that the ideology of national independence was based on three ideas, paternalism, collectivism, and the priority of public opinion, which were the core of Uzbek values and thus “cannot be ignored and rejected”. If truth be told Akhmedov was simply parroting Karimov who argued in his opening speech of the Oliy Majlis that Uzbek democracy should be based on “collectivism, paternalism and priority of public opinion” (Karimov: 1995, 10). Another “official intellectual” Said Ahmad argued that ideology of national independence was merely the “world culture decorated by Uzbek spirituality” which would counteract “public fear, ideological instability, lack of independent thinking, and spiritual dependence” (Roudik: 2007, 184-85). Ahmad summarized well, the scapegoats of the Karimov regime; fear from insecurity, instability and dependence on alien ideological infiltrations such as pan-Turkist and Islamic movements. For Ahmad, the ideology of national independence would be sufficient to provide Uzbek people the framework of independent thinking. Narzulla Jorayev another official academician and a parliamentary bureaucrat even claimed that the ideology of national independence should diffuse inside the lives of individuals in order to prevent “destructive ideologies”:

“From the individual point of view, national ideology is my personal ideology; it’s an ideology which relates to my independence, my honour, dignity, national pride, personal self-esteem. Anyone who opposes this ideology is my personal enemy and the enemy of my family and child. This is how we should look at the matter. Then, we can respond to destructive ideologies and prevent them” (6 May 2006, *BBC Monitoring Central Asia*).

The ideology of national independence evolved as a patchwork of diverse attitudes and opinions such as nationalism isolated from any irredentist claims, conservatism seen in the obsession of the regime for order, discipline and traditions, and a corporatist outlook that prioritize collectivism over individualism. The Uzbek ideology perfectly exhibited a pragmatic non-ideology: Pragmatic in the sense that it served perfectly in keeping up the political routine of the country and a non-ideology since it successfully de-legitimized alternative ideologies by undermining their claims. Tesli identified three doctrines of the regime repeated over and over by the President, Cabinet Ministers, bureaucrats, academicians, teachers and the ordinary people: the need to maintain national security and stability, gradualism and lastly the idea that history was given and true” (Tesli: 1999, 105-6). Islam Karimov himself defined the self-styled Uzbek model in five items:

- 1) A gradual approach to all of the reforms
- 2) The de-ideologization of the economy
- 3) State regulation during transition period
- 4) Supremacy of law

5) And the implementation of a strong social policy” (Biography of I.A. Karimov: 2007).

The regime was indeed a collage of hagiocracy in the style of a reincarnated khan of pre-Tsarist style, of neo-patrimonialism backed by the alliance of clan leaders and a repressive clientelism accompanied by the President’s dense rhetoric on the virtues of democracy, human rights and freedom of speech. Uzbekistan displayed a slogan regime; Soviet-style long boulevards of Tashkent were always filled up with signage of slogans. Television and radio programs echoed repeatedly the same slogans and high schools, universities, printing houses, cultural institutions, and the local *chaikhana*,<sup>7</sup> all ideological apparatuses of the state routinized the dissemination of the principles of the “Uzbek path”. Karimov appeared confident that his ideology was based on “the centuries-old traditions, customs, language, and spirit of our people” (Schylter: 2007, 22). Yet the people were reminded continually through slogans:

- The country’s “own road of independence and progress”
- Uzbekistan is a state with a great future

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<sup>7</sup> Literally meaning “tea-house”, *chaikhana* is the habitual meeting point of mahalla residents.

- Ideas against ideas, education against ignorance
- National program of training
- Moulding a perfect personality
- Spirituality and enlightenment
- From a strong state to a strong civil society
- Turkestan is our common home
- To globalism via regionalism
- Grain independence
- Energy independence
- Export-oriented economy (Tolipov: 2008, 10)

Laura Adams (2010, 120-121) observed that Uzbekistan was a “spectacular state” since in practice it performed the ideology of national independence with signage slogans covering state buildings and panels, activities at the anniversaries of the Uzbek cities and early thinkers, lively holiday rites, and ceremonies for special occasions such as Navruz and Independence Day. The regime attempted to replace the Soviet culture with the “authentic Uzbek culture” and to install the Uzbek national identity blended with both ethnic and civic themes in the place of international, or to be more precise non-national Soviet identity (Adams: 2010, 133-52). Promoting authentic Uzbek culture and developing a national idea was first of all necessary to render people of Uzbekistan ‘ideologically immune’ to the alien ideological distortions (Karimov: 2001, 44-5). Hence *O‘zbekchilik*, the principle of Uzbekism became one of the main pillars of the Karimov regime. The status of Uzbek language was elevated, selected figures from Central Asian history were heroized as the forerunners of contemporary Uzbeks and most importantly Karimov (1998, 64) strove for an Uzbek identity to minimize the attachment to clans and regions: “There is only one Uzbek nation state in the world, and there are no political differences between the descendants of Khorezm, Ferghana, or Surkhandarya: they are all Uzbeks”. Karimov (1998, 60) warned that regional and clannish groups were promoting their own interests rather than the priorities of the state and via favouritism of the kins for the state posts they had the tendency to exploit public goods for the benefit of their specific clans.

Merry (2004, 31) claimed that the leaders of all Central Asian countries solely changed their names from Soviet to national; though the same

leaders and the cadres have been continuing to rule through unchanged Soviet methods of authority. Perhaps Merry (2004, 39) might be correct in his statement that the “Uzbek is truest to its Soviet roots”, however since *koreniizatsiya* Uzbekhood turned out to be the norm of the legitimacy and the socialist element in the famous Stalinist slogan “socialist in content, nationalist in form” became intermingled with sizable national content. Furthermore, Uzbek leaders and then the people were made fit to their Uzbek form above all by the October Revolution and the Soviet regime. Bell accurately noted that, together with the Marxist-Leninist official idiom, the Soviet authority and its legitimation depended on the preceding creation of the Uzbek SSR with its titular genuine Uzbeks:

“[In the Soviet period since] the social mobility and political legitimacy of native elites depended almost exclusively on the existence of an Uzbek nation, the identity and status of elites was closely tied to the representation of Uzbek nationhood in both official policy and through popular mediums” (Bell: 1999, 187).

Within the national framework pre-set by the Soviets via national delimitation, Uzbek leaders found a multi-ethnic society including substantial Russian and Tajik ethnic groups. Karimov (1998, 42) admitting that Uzbekistan was a multi-ethnic state, affirmed the existence of over a hundred different ethnic nationalities comprising of more than twenty percent of the population. The leaning of the Uzbek leaders was initially to locate Uzbekhood as an umbrella over ethnic and regional differences. *O'zbekchilik* was not devised in racial or ethnic terms, but, in Matveeva's terminology, as a state nationalism. Matveeva (1999, 29) also argued that Uzbek state-centric nationalism has acquired more ethnic tone as the time passed after the independence. Uzbek definition of national identity as bound to the state was akin to the official Turkishness in modern Turkey, based on the citizenship tie; both allegedly not ethnic. At the same time, such a civil definition of nationhood conferred the Uzbek leadership practical assistance in overlooking ethnic diversity. The ethnic tags that all Soviet citizens were carrying nearby as internal passports and the national categories in censuses all disappeared. In independent Uzbekistan no specification whether regional, ethnic or linguistic, exists in the official documents. Furthermore, Uzbek authorities eschewed to organize a national population census; as Ferrando (2008, 491-92) noted Uzbekistan is the “only former Soviet republic that has not yet carried out a population census since independence”.

Karimov might appear at first glance even as a liberal-democrat leader in his numerous speeches full of tributes to the ethnic diversity of his country. “Even the smallest nation or ethnic nationality, contributes to the

richness of mankind and deserves to be preserved” wrote the President in his *magnum opus* (Karimov: 1998, 44). Nevertheless Karimov (1998, 41) quickly adds that political loyalty of non-titular ethnic nationalities is a prerequisite for the stability and security and, unfortunately for the President multi-ethnicity turns into the most destructive force as soon as it threatens the inter-ethnic harmony. Karimov (1998, 44) identified two versions of nationalism among the threats to stability and security of Uzbekistan, the “excessive nationalism” and the “politicized nationalism”. Hence ethnic nationalities in Uzbekistan should contribute to the richness of the country without passing the threshold of extremity set by the regime and after renouncing any demands that might be labelled as “political”.

Karimov’s appraisal of multi-ethnicity was in fact repercussions of the Soviet ethnos theory that every ethnic group and nation had an ethnic core, an ethnos. Akhmedov, a post-Soviet *apparatchik* of Karimov, distinguished between the autochthonous minorities such as Kazakhs, Tajiks, Kyrgyz and Turkmen and the scattered minorities such as Russians, Byelorussians, Koreans, Jews, and Ukrainians. For him the ethnoses of the autochthonous minorities had a great deal of resemblance with the Uzbek ethnos as a result of living alongside the Uzbeks for centuries and thus they could practically adopt the Uzbekness. The scattered minorities however continue to live with “the illusion of mastering their national consciousness”. Akhmedov (2009, 6) recommended an understanding of civic nationalism to be incorporated in the ideology of national independence for the “scattered minorities”. Therefore, each ethnos was recognized with its peculiar values, ensured the right of education in its own language providing that there would be no political mobilization on behalf of ethnic demands.

Kaiser came across the ubiquitous slogan “Barqarorlik eng katta boyligimiz”<sup>8</sup> over and over again in his visit to Tashkent in early 1999. He considered the ever-present slogan as a state reaction to the Tashkent bombings of February 1999 which was propagated by the regime to be performed by foreign Islamists who aimed at destroying the stability and the security of Uzbekistan (Kaiser: 2000, 5-6). Nonetheless what perhaps seemed transitory to Kaiser was the never-ending obsession of the Uzbek regime for security and stability. Once the regime and the authority of the President and his clique were consolidated, it is logical for the regime to pay tribute to both internal and external stability. Fetishization of stability superbly served Karimov regime to pacify and liquidate all opposition internally. Berg rightly stated that after the immediate turmoil following the collapse of the Soviet Union all post-Soviet Presidents in Central

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8 “Stability is our greatest wealth”.

Asia turned into “*de facto* guardians of the stability” (Geiss: 2006, 32-3). “Social, political and economic stability is a preeminent achievement of unsurpassed value” proudly declared in this vein Karimov (1998, 5) while assessing his rule after the independence. Cult of stability certainly proved to be of unsurpassed value for Karimov himself in providing a priceless tool to marginalize all dissidents. Externally Karimov was quick to announce the principle of indivisibility, meaning the constancy of all borders in Central Asia, as the premium motto of the Uzbek foreign policy. Although all neighbours of Uzbekistan embraced substantial Uzbek minority groups, Karimov’s regime persistently displayed little interest in Uzbek co-nationals abroad. Fumagalli noted that, the situation of the Uzbek population in neighbouring countries was discussed neither in the Uzbek Parliament nor in media and the Uzbek regime seemed to forget those co-nationals altogether (Fumagalli: 2007, 209). Consolidated authority naturally disdains any possible challengers whether internal or external.

The regime’s success in the fetishization of stability and the endurance of repressive authoritarianism in Uzbekistan might be explained as the natural consequence of the established cultural values in the society. Akiner (1997, 40) for instance argued that the conservative nature of the society, widespread emphasis on consensus and all-embracing sense of community were only apt for a stable authoritarian regime. Pashkun (2003, 14) identified Karimov as the “representative of the conservative technocratic elite” and celebrated his able realization of the idea of “political stability at any cost” in a region full of bloody conflicts and threatening sources of instability. Likewise, Lambert argued that the Karimov regime was by and large legitimate in the eyes of the ordinary Uzbeks, on the grounds of a survey worthy of note in its demonstrating the popularity of the concepts like order and stability. To the question “what is the best political system”, almost 50% of Uzbeks gave the answer “anything that brings order”. 91% of Uzbeks chose “strengthening order and discipline” as the measure that should be carried out in order to improve living conditions. Furthermore 52% of Uzbek respondents chose Karimov as the most respected leader from a questionnaire including 14 options (Lambert: 2004, 290-91).

Howland once complained that Uzbek political culture caused serious handicaps for him in organizing a field survey on political topics. In his survey arranged in the last days of Uzbek SSR, Howland encountered chief Uzbek cultural values; obsessive pursuit of control and security, prevalent lack of trust to anyone and resulting transitory social relations (Howland: 1990, 72-3). Islam Karimov indeed provided only clues on his perception of the ideology of national independence in *Uzbekistan on the Threshold of the Twenty-First Century*, a 1998 book which seemed to be written for an

international audience rather than for domestic propaganda. However, the clues provided were enough to notice the centrality of security and threats in his thinking. “Are we sufficiently aware of the threats to our stability and security?” asked Karimov (1998, 2) provocatively in the very beginning of the book. And then in the first part of the book, titled “Threats to Stability and Security”, Karimov enlisted these threats under seven headings in order to increase the awareness of the Uzbek citizens:

- Regional conflicts,
- Religious extremism and fundamentalism
- Great power chauvinism and aggressive nationalism
- Ethnic and inter-ethnic relations
- Corruption and criminality
- Regionalism and clan influence
- Ecological challenges

The second part of the book carried the title “Toward Stability and Security” in which Karimov instructed the Uzbek people on the methods to ensure stability and security. Facing frequent references to the creation of democratic institutions and civil society, respect for human rights, establishing free market economy and promoting social policy and active citizenry, any foreign reader might become confused whether Kyrgyzstan or Uzbekistan was labelled as the Switzerland of Central Asia by many Western analysts. However, in the Uzbek experience “forming a market economy and class of owners” meant in practice to distribute state firms to the clannish networks in trade for political support and to ensure that the class of owners should be Karimov’s family and network. “The revival of spiritual values and national self-consciousness” which was of vital importance for Karimov was in truth to educate Uzbek people to fit regime’s own vision of Islam, Uzbekhood and state-building. Likewise creating democratic institutions in practice stood for to decorate the *Oliy Majlis* with puppet parties and to organize fake elections. It is needless to say creating civil society and promoting active citizenry was to make any potential divergent attitude docile at the very outset in the neighbourhood stage via regime’s civil society, *mahalla*. “Three words, stability, security, sustainability have deep meanings to be continually remembered” warned Karimov (1998, 4) in *Uzbekistan on the Threshold of the Twenty-First Century*. It was clear for Karimov that sustainable development, the third pillar of his ideology depended on the prolongation of the *status quo*.

The last part of the book titled “Promise of Progress” commenced with a long oratory of two chapters on Uzbekistan’s potentials: Mineral richness including fuel and energy resources, deposits of coal, gold, silver, copper, uranium, and the agricultural fertility especially in cotton production. In addition, a large young population accompanied by a high population growth rate. Finally, this oratory and then *Uzbekistan on the Threshold of the Twenty-First Century* ended up unsurprisingly with remarks on the immense worth of stability and significance of overcoming destabilizing threats already listed in the previous parts of the book (Karimov: 1998, 180-2).

As Andrew March (2003, 225) maintained legitimation of the authoritarian rule through fetishization of security and stability was self-defeating since both security and stability are “negative goals that depend on some ‘other’”. The “other” of Karimov was the entire political claims based on Islam including not only Islamic Movement of Uzbekistan or Hizb-ut Tahrir but all Islamic factions. After the non-religious regime of the Soviet era collapsed and then the atheism campaign of 1980s expired, Uzbek regime had to tackle with its increasingly more devout population yearning for a more Islamic life. The regime should elaborate a feasible solution to curb future demands for Islamic legitimation. Consequently, the Uzbek elites opted to incorporate Islam selectively into their formulation of the national identity and relevant Islamic attitudes into the ideology of national independence. While Islam’s favour for traditional life, order, respect for elders, and submission to authority were included in “our Islam” by Karimov, politicized Islam was “used by terrorists to turn the youth into zombies, involving it in the illegal activities” (Koch: 2009). Olcott and Ziyayeva (2008, 14) stated that a sort of “national Islam” was promulgated as the antithesis of both the Soviet era atheism which “destroyed the Uzbek people as a historical nation, its culture and sacred religion of Islam” and also the alien radical Islam.

Buzan, Wæver and de Wilde (1998, 35-40) proposed the concept of securitization as extreme politicization of a situation via crafting a threat or magnifying an already existent minor danger in order to use extra-legal means. The securitization is performed by a “securitizing actor” who claims to protect the “referent object” which is a sanctified object such as state, nation or religion. In this account, the violence, torture, human right abuses and ideological manipulation were seen legitimate to the extent the threat toward the referent object was magnified. The “securitizing actor” Karimov (1998, 23) skilfully points out extremism and the radical Islamism as the threats to the “referent objects” which are the independence of Uzbekistan and order in the country. While a well-defined

religious orientation might contribute to the formation and strengthening of the national identity, Karimov insisted that “false devotional principles of religiousness” (Koch: 2009, 228) would split the country as happened in Afghanistan and Algeria. As noted earlier Islamic fundamentalism was consistently depicted as foreign and outsider:

...Outside our country there are aggressive and fundamentalist forces who, exploiting the sacred value of the Islamic faith of our people, using the religion of our forefathers as a mask want to stop and reverse the democratic and spiritual progress of Uzbekistan” (Megoran: 2002, 89).

In this account dissident groups inside the country were charged of being poisoned by alien destructive ideologies or as dishonest people obtaining \$100 from Islamic organizations such as Hizb-ut Tahrir to distribute extremist leaflets and magazines (Horsman: 2005, 205). In Karimov’s scheme native opposition movements such as nationalist *Erk* or *Birlik* which have undeniable secular credentials, were portrayed as “false democrats” and “opportunists” (Megoran: 2002, 89). Megoran noticed that the securitization prevalent in the Soviet era via crafting an external threat remained the same after the independence (Megoran: 2002, 90). Although the “outside extremists and fundamentalists” replaced the “Western bourgeoisie deviations”, both were constructed as foreign to the “essence of Uzbek people”.

In Karimov’s discourse, Islamist threat was regularly cited together with drug trafficking and smuggling, and Karimov legitimized his authoritarian rule and harsh measures against opposition as being “the last bastion against Islamists, drug traffickers and other criminals” (Matveeva: 2009, 1101). Horsman (2005, 204-5) noted that the Uzbek government continuously attempted to blame extremists as ordinary criminals rather than as opposition forces or fighters of an ideology. Islamist fundamentalists were described as terrorists, rapists, evil forces, and extremists were accused of stealing clothes and even killing a dog. Claiming that he did not deny Islam even in the Soviet period and as the First Secretary of the Uzbek Communist Party, Karimov hypocritically tagged extremists as unbelievers and infidels: “Extremists do not practice any religion [and there are] those among them who do not believe in God at all” (Horsman: 2005, 204). In addition, Uzbek regime made use of the legal instruments to stuff all dissidents into the same basket with the genuine terrorist organizations. Horsman (2005, 201) was right that the definition of terrorism as ‘socially dangerous wrongdoing’ in the Bill on Terrorism adopted in 2000, was extremely vague and consciously left imprecise.

The attacks to the World Trade Centre and the Pentagon on September 11, 2001 turned out to be a golden opportunity for repressive Karimov regime. The “war on terrorism” and operations against Taleban who were ruling neighbouring Afghanistan since 1997 added new fuel to Karimov’s repression against all dissidents as Islamist radicals. The terror discourse which was increasingly used by the Uzbek leader since early 1990s as the ultimate legitimiser, had then acquired more currency among the international audience too. Karimov announced his pleasure that Americans started realizing the problem posed by the Islamic fundamentalism only now and they would not be able to disregard it anymore (Koch: 2009, 227). Uzbek leadership succeeded to turn into a close ally of the United States in the War on Terrorism, providing the Karshi Khanabad air base to be used by the US army in military operations in Afghanistan and obtaining financial aid and a blind eye for his operations against opposition in return.

The Andijon events of May 13, 2005 became the zenith of Karimov’s obsession against Islamists. In the beginning twenty-three Andijon businessmen whom Karimov intended to liquidate possibly because of their increasing wealth and widening power base in the region, were accused of religious extremism. Beforehand Karimov had already called the Parliament “not to be soft on Islamic extremists” in preparing the Law on Religion (Bingöl: 2004, 53). The court trial of these local businessmen turned into a mass demonstration “against poverty, unemployment, and political repression” in Uzbekistan (Pyati: 2005, 13) and the gathering mass supported by several gunmen invaded government buildings and took over *de facto* control of the Andijon city. Armed soldiers with tanks and helicopters under the personal control of Karimov, who hastily arrived at the city, attacked to the protesters and opened fire to the crowd. Despite official report of the events estimated that seventy to one hundred eighty-seven people all from the ranks of “rioting Islamist terrorists” were killed, eyewitness accounts suggested the number of casualties up to a thousand (Pyati: 2005, 13-4). While Uzbek officials were keen to ensure all killed people to be found with guns nearby them, President Karimov was uttering his famous sentence: “Islamist extremists must be shot in the head and if necessary I’ll shoot them myself” (Horsman: 2005, 208). Islamism became a perfect scapegoat for Islam Karimov, wandering outrageously just nearby the borders, radical Islamists are the ‘other’ that Uzbek regime desperately need to keep their legitimacy fresh.

A further pillar of the ideology of national independence was its claim of authenticity and uniqueness for the Uzbek people. The regime constantly portrayed the ideology of national independence as the culmination of past experiences of ancestors and as the distillation from the values peculiar

to Uzbek people. The claim of authenticity and uniqueness became central in turning regime's narration into an upper-ideology or as March notes in elevating to the status of pre-political societal consensus before the political competition of diverse ideologies. Karimov clearly set the distinction between the Western and Eastern types of democracy. For Karimov Western understanding of democracy is based on the selfish individual who is alienated due to disruption of social ties. Moreover, Karimov sees the right of individual for participation in political processes as unfit for the Uzbek people since in such a situation open ideological competition may stimulate rivalry among segments of society. Karimov and his power elite declared their adherence to multi-party democracy but to an "Eastern democracy" based on "Eastern spirituality" (Masaru: 2007, 361). The Eastern democracy of Karimov depended on principles such as the priority of people over individual, collectivism, discipline, respect for elders and submission to authorities, in brief on the "traditional Oriental culture that the Uzbek people have been nurturing for thousands of years" (Perlman, Gleason: 2007, 1332):

"Democratic institutions must reflect the mentality and peculiarity of the culture of our people. It is known that the Western model of democracy is founded on the philosophy of the individual and excessive politicisation of the masses. On the other hand, the East assumes democracy based on the idea of collectivism, paternalism, and the priority of social opinion" (Masaru: 2007, 361-62).

On the other hand, the same traditional mind set was held responsible for the lack of democracy and the endurance of authoritarianism by many Western analysts. Melvin (2004, 127-128) summarized the cultural accounts of the Central Asian authoritarianism and cited that "traditions of patriarchy, popular submissiveness, deference to authority and to elders, and weak democratic institutions" were the background causes of the persisting authoritarianism. "But is "traditionalism" a bad thing?" asks Karimov and added that his ideology of national independence would prevent the "harmful influence of excessive individualism" (Masaru: 2007, 362) and spread Eastern cooperation. Regime's leaflet *Halq So'zi* supported Karimov in an article that being democrat without Uzbek values would hinder to develop into *komil inson* (perfect person):

"We cannot describe a man who has acquired profound knowledge of democracy and armed himself with it but has no national values in his heart an Uzbek and a perfect person (*komil-inson*). It seems that to understand these values one must be born an Uzbek" (Tolipov: 2006, 10).

While several times the Uzbek regime was categorized as “decent society” (Pottenger: 2004), “controllable democracy” (Ilkhamov: 2002) or a regime characterized by a “better degree of freedom compared to Soviet era” (Spechler: 2007, 186), Karimov’s rule had been simply a repressive authoritarianism. The inclination towards repression and authoritarianism were implicit in another pillar of the ideology of national independence; unconditional discipline and expectation of submission to the order. Karimov, who was uncomfortable with the emergent disorder under Gorbachev, even welcomed the August 1991 coup attempt in Moscow, and maintained in a local party meeting that “we have always been supporters of firm order and discipline” (Warikoo: 2000, 77). The fear of insecurity was frequently instigated through reminders that repression and authoritarianism would always be preferable to civil disorder and bloodshed. Karimov notoriously repeated that after all “it was better to have hundreds of arrested than thousands killed” (Matveeva: 2009, 1109). Even with the cost of implicitly accepting tyrannical features of the regime, medieval Islamic theologian al-Mawardi’s statement that “a thousand years of tyranny were better than one night of anarchy” was reminded in most semi-official articles (Froese: 2005, 373). Karimov himself justified the authoritarian methods of regime on the basis of need for stability once again:

“I admit perhaps in my actions there are signs of authoritarianism. But this I explain as follows: in certain periods of history, especially during the construction of statehood, strong executive power is necessary. It is necessary in order to avoid bloodshed and conflict, to preserve in the region inter-ethnic and civil harmony, peace and stability, for which I am prepared to pay any price” (March: 2003, 371-72).

Karimov (1995, 9) strongly opposed to any wholesale change, shock therapies initiated in several post-Soviet countries and revolution which he labelled as the “primitive and barbaric form of social progress”. A swift and comprehensive reform might have resulted in disturbances and thus disruption of the stability, the apple of the eye in Karimov’s self-legitimation. The civil wars in neighbouring Afghanistan and Tajikistan were attributed to their inability to adapt to the speed of the change after the collapse of the Soviet Union. Thus, gradualness and consistency both of which presented among the wisdoms of the East as usual had been made main pillars of the ideology of national ideology. The step-by step approach employed by the Karimov government in the sphere of economic reform was also a reflection of the gradualness.

Masaru noted that Karimov portrayed Uzbekistan as “a state with a great future” and depicted an “image of developmentalist state” similar to the developed Asian tigers such as South Korea. Karimov insisted that

contrary to the ruinous Soviet central economic planning, independent Uzbekistan was on the way of transforming into a market economy. The five principles of economics which was supposedly freed from politics are as follows:

- Economy above politics
- State is the main reformer
- Supremacy of law
- Strong social policy-step by step
- Continuous and stable reform (Masaru: 2007, 341-42)

Contrary to the negative goals of security and stability the discourse of developmentalism constituted the only positive goal orientation of the regime that did not require a continual designation of threat (March: 2003, 226). Pottenger (2004, 63) welcomed de-ideologization of economics in Uzbekistan, and praised Karimov's encouragement of privatization together with incentives provided for the foreign investors. Nevertheless, since politics is above all about who will obtain how much of the wealth, de-ideologization in practice meant that those Uzbek elites would distribute the wealth first to their clients and then political allies. As a part of the enforced pre-political consensus on the ideology of national independence, distribution of wealth was carried on in the pre-political level, the political competition was carefully isolated from economics:

“Our people have a proverb: “First food, then talk”. That is, first feed the people, establish favourable conditions for the family and only then talk about politics” (March: 2003, 225).

#### **4. Conclusion**

The evident reality in the politics of Uzbekistan has been the influence by the clan networks. Mostly stemmed from a regional power base and deeply diffused into the state institutions, the clannish patronage networks proved extremely flexible in adapting to diverse political settings ranging from the religious monarchies of the medieval khanates and then the modernizing Soviet Marxism to the independent Uzbekistan under the ideology of national independence. As long as the maintenance of the clan balance was ensured, the legal provisions were not binding for Karimov, and the elections were just performed to support regime's discourse of democracy.

Uzbek nation-building project under Karimov claimed authenticity based on a state nationalism different from pan-Turkic ideals or irredentist nationalisms and a state religion distinct from the ‘alien’ Islam of the fundamentalists. As March noted the separation of the ‘national ideology’ from ‘political ideologies’ was vital for the Uzbek regime since by this way the ideology of national independence was elevated to the “status of immunity” vis-à-vis the political ideologies which were reflecting the demands of narrow foreign elements instead of whole Uzbek people. Furthermore, the regime created a cult of stability and security through continuously comparing of the neighbouring Afghanistan and Tajikistan with Uzbekistan. While ‘aggressive’ nationalists and Islamists in these countries were blamed for the chaos and bloodshed, the ideology of national independence is glorified to keep Uzbekistan in order.

Stability and order are the key concepts for all powerholders as after all stability means the endurance of the existing ruler-ruled relations. In Uzbekistan any rival political arguments could be easily denounced as alien to the Uzbek people and threats to the stability and the order. Uzbek regime needed a widespread threat perception in order to constitute itself as the saviour of the stability. In Uzbekistan “ideology of national independence” aspired to place itself as a supra-ideology, a general framework pre-set within which all opposition should operate. The external opposition was successfully marginalized, and the propositions of the ideology seem to be hegemonic. However, the existence of dissidence and extensive use of violence against even little divergences imply the weakness of the legitimation in the country. As seen in the post-Karimov years after 2016, democratization seems unlikely, a new clan-based autocrat simply replaced Karimov.

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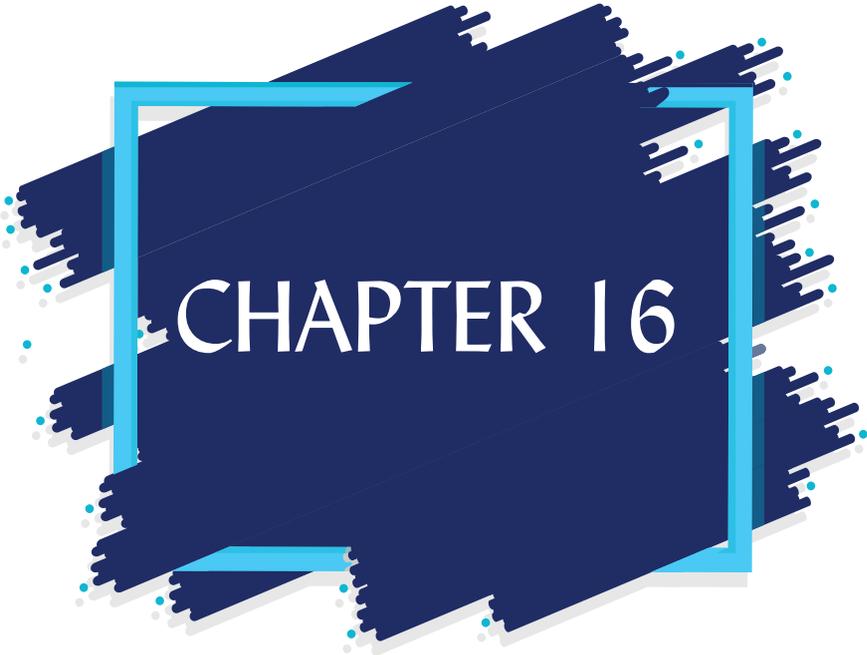
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# FRUITY MEALS IN TRADITIONAL ERZINCAN CUISINE

**Necibe ŐEN<sup>1</sup>, Fatma BAŐAR<sup>2</sup>, Burak BAŐAR,<sup>3</sup>  
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## CHAPTER 16

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## FRUITY MEALS IN TRADITIONAL ERZINCAN CUISINE

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### INTRODUCTION

Eating is considered as a fundamental physical need in Maslow hierarchy of needs. Continuous requirement is felt for food in order to meet this need. We consume fruits and vegetables raw and we meet our nutritional needs with meals that are cooked using various methods. Meals and eating are two important terms that have multiple meanings. In addition, Meals convey various codes and messages. In addition to serving as a symbol and means of communication, meals are of great physical and social importance for people (Gürhan, 2017). For example, chocolate conveys the message of happiness and Turkish coffee represents friendship.

Rice is used as staple food in the eastern and south-eastern part of the Asian Continent. Fish and fish products are staple food for Scandinavian countries while grains, fruits, vegetables and meat are used while cooking meals in countries like Turkey with climatic variety (Şahin, Bağcı, Özlü, & Usta, 2017). Meals are universal and they attribute certain characteristics to societies. Meals are important components forming the identity of the destinations where they are produced. This is the reason why certain cities are associated with some meals. Adana and Urfa Kebab, Gaziantep baklava, Bursa Iskender doner kebab, Hatay kunefe, Erzurum Cag kebab, Erzincan Tulum cheese are some of the examples.

A meal may be specific to certain area, region and different regions may consume different versions of a meal. Meals vary based on movements of societies and changes in geographical and climatic conditions. Societies are in constant interaction with the environment. It is not possible to restrict such interaction and variation in meals in open societies. On the other hand, cultural values of societies have influence on eating habits as much as they have on lifestyles of people. Therefore, almost each cuisine around the world have different characteristics compared to other cuisines. Cuisines

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attain a different identity because of these characteristics. For example, Indian cuisine is characterized by spicy food while distinct characteristic of Italian cuisine is pasta. Therefore, Anatolia has a very rich cuisine. Kizildemir, Ozturk and Sariisik (2014) showed that cultural richness of Turkish people also enriched Turkish cuisine. Turkish people that founded states in different geographies interacted with numerous civilizations; thus, this situation had reflections on eating habits.

Journey of Turkish people and cuisine that started in the Central Asia and expansion of them in vast geographical areas start from 200 B.C. and extends to the 21st century. As a result of migrations, rich territories and product diversity of Asia and Anatolia have been merged, interacted with other cultures and reached to the present day in harmony or through certain changes (Kızıldemir, Öztürk, & Sarıışık, 2014). Civilizations and big states that settled in Anatolia to this date had great influence in the formation of Turkish cuisine. Seljuks and Ottomans are the most prominent ones among these states. However, in essence, these states were also influenced by the cuisine of Turkish people that migrated from the Central Asia. Turkish people used wheat and wheat flour in meals before Islam. In addition, they frequently consumed, goat meat and meat of other cattle. Bread, yoghurt and grape molasses were added to Turkish cuisine in the period of Seljuks and beyliks. Both varieties of food and cooking methods are emphasized in Divan-u Lugat-it Turk and Dada Gorgoud stories that are two important works of the period.

It is known that fruits such as apple, plum, grape, quince were consumed as fresh fruits and in dried form for making stewed fruit to consume in winter, during the period of Anatolion Seljuks (1077-1308) and Beyliks (1227-1521) (Akın, Özkoçak, & Gültekin, 2017). Fruit syrups and fruit juices were used during the period of Seljuks and dried fruits were used in means during the period of Ottomans (Solmaz & Dülger Altner, 2018). The importance of fruit in the Byzantine period is evident from the fact that no table was set without fruit. Apple, melon, watermelon, fig, date fruit and grape are examples of the most popular fruits. (Yiğit & Ay, 2016)

In Ottomans, the most popular dried and fresh fruits consumed in the period of Fatih is pear, pomegranate and almond. It is known that fruits such as apricot, fig and plum were used during the period of Kanuni. In the 19th century, approximation to the western world that came with Political Reforms was felt in the cuisine and diversification was observed with food and drinks. Fruits such as rowan berry, pomegranate, medlar, quince, melon were stored on strings while fruits such as sour cherry, quince, cranberry, damson plum, strawberry were used to make jam (Yiğit & Ay, 2016). In addition, fresh fruits and dried fruits were used to make stewed fruit, syrup,

juice and stuffed vegetables with meat (Solmaz & Dülger Altiner, 2018). With the migration from Central Asia to Anatolia, Seljuk cuisine, Palace Cuisine of Fatih Period and feasts and events of Kanuni Period in Ottomans laid foundations of today's Turkish cuisine. Just like any other ingredient in this cuisine, fruits are also essential components of Turkish cuisine. Apple, apricot and dried fruits contributed to this culture. Noah's pudding that is cooked with both fresh and dried fruits maintained its importance in each period. Ottomans cooked Noah's pudding with dried figs, dried apricots, dried grapes, quince and apples (Özlu, 2011). In addition, a Noah's Pudding event was organized in Paris Intercultural Dialogue Platform. In the event organized by Muslim and Christian organizations for bringing different cultures and religions together, Noah's pudding was considered as a symbol of multi-cultural structure due to diversity of the ingredients (Karaosmanoğlu, 2006).

In the period of Ottomans, spices were used together with dried and fresh fruits in meals that are cooked with salt-free butter. However, this habit was abandoned after the 19th century. Tomatoes and tomato paste were introduced with the discovery of the America continent in the beginning of the 20th century (Erdoğan Aracı, 2016).

Meat, yoghurt and grain products that are consumed frequently in the Central Asia have been mixed with rich fruit and vegetable diversity of Anatolia. At present, intensive consumption of meat, coarse wheat and yoghurt can be considered as cultural conveyance from the past. In the past, cinnamon was used with meat but today, it is mostly used with deserts and stews with meat and fruits take place on tables less frequently (Şeren-Karakuş, Ceyhun Sezgin, & Şanlıer, 2015). However, stews cooked with fruits were consumed more frequently in the fifteenth century. In a cookbook written by Muhammed bin Mahmud Sirvani, stews are described as sweet and sour meals (Serem-Karakuş, Ceyhun Sezgin & Sanlier, 2015; Karaosmanoglu, 2006). Dried fruit, molasses, honey, sugar, grape and pomegranate juice were added as sweetener. Unripen grape, sour apple, lemon juice and vinegar were added for sour taste. Fruits were removed from stews and meat with high fat content and onions were added in the eighteenth century (Serem-Karakuş et al., 2015).

Fresh fruit and dried nuts were used very frequently in Turkish cuisine. Non-use of tomatoes as a red vegetable until the discovery of the America continent and not knowing green pepper and potatoes that add flavour to meals caused frequent use of fruits in meals. Even though we do not favour such fruity meals today, meals cooked with fruits and dried nuts were essential parts of the tables in the past (Akkor, 2017). In Turkish Cuisine, fruits are used in stews. Flavours of meals are enriched with fruits and

dried fruits (Hatipoğlu & Batman, 2014; Solmaz & Dulger Altiner, 2018). In particular, meats and pilaffs are flavoured with them. However, the consumption was reduced in the 19th century (Solmaz & Dülger Altiner, 2018). Recipes with fruits are very rate in the present day (Hatipoğlu & Batman, 2014).

Karadag, Celebi, Ertas and Sanlier (2014) suggest that Turkish Cuisine consists of various grilled dishes, fried dishes, roasted dishes, kebabs, stews, steam-cooked meals, boiled dishes, meatload and stuffed vegetable dishes. However, fruity meat dishes are also cooked. Guldemir and Halici (2009) studied traditional fruity meat dishes and gave place to recipes. Ayva dolması (stuffed quince), Ayva Gallesi, Ayva Kebabı (quince kebab), Ayva Köftesi (quince patty), Ayva Yemeği (quince stew), Ayvaş, Ayvalı Yahnı, Badem yemeği (almond dish), Çağala Aşı (erik sulusu) (green almond meal with plum juice), Çağla Yemeği (green almond stew), Çağlaş, Elma Dizmesi, Elma Dolması (stuffed apples), Elma, Kebabı (apple kebab), Elmaş, Erik Dolması (stuffed plums), Erik Tavası (fried plums), Erikli Et (meat with plums), Erik Aşı, Erik Yemeği (plum dish), Erikli Yahnı (stew with plum), Etlı Ayva Kalyesi, Etlı Ayva Yemeği (meat stew with quince), Etlı Ayva Yahnisi, Etlı Kestane (chestnut with meat), Gerdan Yemeği, Hurmiye Erikli Et Yemeği (meat with plum), Karaca Eriği Yemeği, Kayısı Yahnı (stew with apricot), Kayısı Yahnisi ve Kestane Yahnisi (stew with chestnut), Kıymalı Kestane (chestnut with minced meat), Lahmi Kiraz, Tatlı Yahnı (sweet stew), Yeni Dünya Kebabı, Zerdaliaşı, Zerdali Yemeği (wild apricot dish) are some of the meals for which recipes are given. Almond dish is a fruity meal that is cooked in Ilgin (Işık, Kılıçarslan, Guldemir, Önay Derin, & Barı, 2017). Fruity meals in Nevşehir cuisine are Ayva Boranisi (Quince Borani), Bitirgen Kayisi Yahnisi (Apricot Stew), Kayisi Yahnisi (Apricot Stew), Pekmezli Ayva Dolması (Stuffed Quince with Molasses) (Guldemir & Işık, 2011). Guldemir (2014) studied recipes in Turkish Cuisine from the Middle East to the Republican Period, in reference to written sources. Fruity meals described in a work named Mevlevi Cuisine are Quince Stew with Molasses, Apple Stew with Molasses and Carrot Stew with Molasses.

Authenticity of local cuisines accommodates deep roots in a unique culture and other general elements such as historical depth, knowledge and eating habits. People learned how to use available products in different ways depending on climatic conditions and physical structure of the area they live in and they conveyed such methods to the future generations (Guldemir & Halici, 2009). Thus, new and different flavours have been offered to people upon combining some dishes with fruits in our rich cuisine. Moderate nature of continental climate in Erzincan, compared to other provinces had reflections such as diversity of fruits. This caused the use of fruits in meals and emergence of new products made with fruits.

## Traditional Fruity Meals in Erzincan Cuisine

Erzincan is a province that is located in the north-western corner of the East Anatolia and it is surrounded by Erzurum in the east, Sivas in the west, Tunceli in the south and Gumushane, Bayburt in the north. Erzincan is mostly covered with mountains and plateaus. Mountains extend as a series of mountains in different directions. Munzur in the south-east and Refahiye Mountains in the north-west are within borders of the province. River Karasu originating from Erzurum in the East and extending to the West and Kop mountains divide the surface area of the province into vast plateaus.

Many fruits that can be cultivated in continental climates are grown in Erzincan Plateau. Apple, mulberry, grape, apricot, sour cherry, cherry, walnut, pear, quince, strawberry are important sources of income that contribute to the fruit cultivation in the province. In the centre of Erzincan and districts where fruits are cultivated, fruits are processed into different products by the locals and these products are used to cook meals, deserts, beverages (Erzincan Yearbook 2005). Adding flavours to meals with fruits, using sweet- salty flavours together do not sound appealing at first place but they give unforgettable sensory feelings once they are tasted (Guldemir O.& Halıcı N. 2009). Erzincan Cuisine also has dishes that are cooked with various fruits and dried nuts.

### METHOD

The present study compiles the cooking methods for fruity meals in Erzincan literature. In his book, Yelegen (2015) described 5 different cooking methods for fruity meals. A study was conducted in villages of Erzincan where fruit cultivation is performed in order to contribute to the literature and determine cooking methods of fruity meals in Erzincan province. Interviews were made with locals to reveal methods of cooking fruity meals. Ayva Galyesi, Green Almond Dish, Sour Dish, Pestil Cullamasi and Tarhana with Sour Cherry are some of the prominent dishes.

#### **Ayva Galyesi (Quince Stew)**

##### Ingredients:

Lamb meat, 500 g

Large quince, 2 pieces

Salt and sugar, 1 tablespoon

Butter, 1 tablespoon

Sufficient amount of water

Directions:

Roast lamb meat with butter, add sufficient amount of water and cook until it softens up. Peel quince cut into small cubes and add quince with salt and sugar and serve after low-temperature cooking for 40 minutes.



Reference: <http://www.tenceretv.com/anneannemin-tenceresi/ayva-asi-tarifi-21300>

**Figure 1.** Ayva Galyesi

## **Green Almond Dish**

Ingredients

Green almond, 250 g

1 onion

1 egg,

Tomato paste, 1 tablespoon

Butter, 2 tablespoons;

Directions:

Boil and strain green almonds. Roast onion, tomato paste and almonds in another saucepan and add egg before serving. It can be cooked with minced meat if desired.

## **Sour Dish**

### Ingredients:

Morsel sized meat, 500 g

Butter, 1 tablespoon

1 onion

Tomato paste, 1 tablespoon

Mixed pickles (green tomatoes, cabbage, beans), 500 g

Dried sour plums (tamas), 150 g

Green plums, 100 g

Tamas, 100 g

Water

### Directions:

Roast morsel sized meat with onions. Add tomato paste and continue with roasting. Add green tomatoes, green plums, tamas and water after onions and wait until they cook. Serve on local bread by adding dill and portulaca as desired after plums soften up.

## **Pestil Cullamasi**

### Ingredients:

Dried layers of mulberry or sour cherry, 200 g;

Cold water, 1 glass;

Butter, 150 g;

2 eggs;

Walnut, 1 tea glass;

### Directions:

Cut dried layers of fruit in stripes with 3 cm width and soak in cold water. Once the dried layers soften up, melt butter in frying pan, cook dried layers until they soften up and mix with eggs. Serve with walnuts.



**Reference:** <http://www.tuyed.org.tr/anadolunun-yeni-turizm-trendi-kemaliye/>

**Figure 2.** *Pestil Cullama*

### **Tarhana with Sour Cherry**

#### Ingredients:

Sour cherry, 150 g;

Fresh tarhana, 200 g;

Sour dried apricots, 150 g;

Castor sugar, 2 tablespoons;

Butter, 2 tablespoons;

#### Directions:

Soak sour cherry and sour dried apricot in water until they soften up. Add sour cherry, dried apricot and sugar while fresh tarhana is browned in butter and serve after roasting is completed.

## CONCLUSION

Erzincan cuisine features fruity meals with quince, plum, grapes and sour cherry. Fruity meals that were frequently cooked in Seljuk cuisine and Ottoman cuisine have reached to the present day with different cooking and serving techniques in Erzincan province. However, increased interest into fast food, offering of non-local food and beverages to customers by today's enterprises reduced the popularity of local dishes. It is very important to pass local meals that are elements of cultural inheritance to future generations. For this purpose, it is required for locals to embrace and maintain such cultural values and enterprises should give priority to local meals in their menus. In addition, another important requirement is to teach how to cook local meals in institutions providing gastronomy and cooking training. Further, it will be important to provide training to locals in order to unearth forgotten local recipes.

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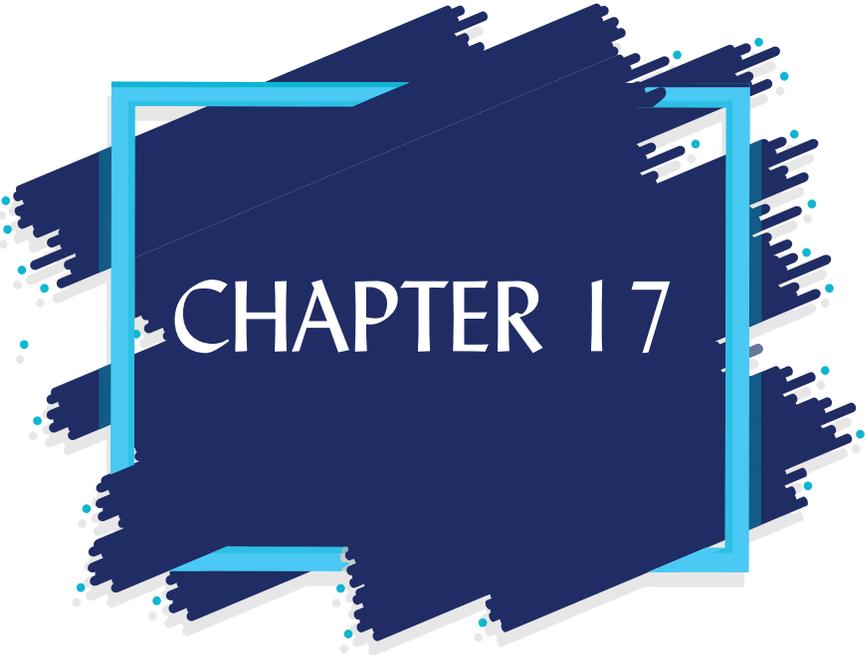
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# EVALUATION OF FINANCIAL STABILITY IN TURKEY IN THE AXIS OF MACRO-PRUDENTIAL POLICIES AND NEW MONETARY POLICY IMPLEMENTATION

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## CHAPTER 17

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# EVALUATION OF FINANCIAL STABILITY IN TURKEY IN THE AXIS OF MACRO-PRUDENTIAL POLICIES AND NEW MONETARY POLICY IMPLEMENTATION

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## 1. INTRODUCTION

Price stability and financial stability are key elements for the efficient functioning of a market economy. These two elements are essential for effective allocation of resources and rational decision-making in order to provide the appropriate environment for savings and investment. In more extreme cases, deterioration in the financial sector can have a sharp negative impact on economic activities and even on political structures. Therefore, maintaining and maintaining both price stability and financial stability has been one of the most important objectives of financial authorities. Macro-prudential policies are seen as an effective factor in eliminating the problem of monetary policies, which is a frequently discussed issue after the crisis, from a macro perspective. Macroprudential policies, whose aim is to limit the systemic risk that causes negative problems for the economy, consider the economy as a whole, covering the interaction between financial and real economy. After the crisis, many countries resorted to macro prudential policy instruments, such as changing profitability ratios for loans, reorganizing capital adequacy ratios, allocating dynamic provisions, additional tax-like liabilities and reserve requirements to limit risks such as rapid credit growth and asset price inflation.

Following these developments in the world, the CBRT changed its monetary policy implementation in 2010 and shared this with the public as a requirement of transparency. According to this change, the Central Bank has now added financial stability as a target to price stability and has started to use a new set of macro prudential policy instruments for these purposes. In particular, where a number of Turkey's relations following the crisis, the EU member states from more rapid recovery from entering the domestic and external demand led to disintegration, domestic demand revived the state has not increased in proportion to foreign demand, domestic demand. When this was accompanied by the rapid increase in loans, the Central Bank resorted to macro prudential policy instruments to suppress credit growth.

In this study, the references to the new monetary policy to be implemented in Turkey since 2010, and especially after the 2008 global financial crisis,

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the Central Bank's framework of financial stability has gained importance as an alternative the applicant macro-prudential policy implementation.

## **2. The Concept of Financial Stability**

### **2.1. Definition of Financial Stability**

Along with changing macroeconomic conditions, in addition to providing price stability, financial stability and supporting the financial needs of the government in times of crisis have been added to the functions of central banks (Goodhart, 2011: 1). Narrowly, financial stability can be defined as the formation and movement of stocks, exchange rates, interest rates and similar prices in the financial markets in a way that does not lead to illusions in the investment and consumption decisions of economic units. In the broad sense, the efficient distribution of the savings undertaken by the financial system in order to maintain a healthy functioning of the economy is to maintain its role smoothly and continuously (CBRT, 2006: 1).

In order to better understand the concept of financial stability, it is useful to define it in a wider scope including the mixed relations between financial markets, infrastructure and institutions (Gadanecz and Jarayam, 2006: 365). The concept of financial stability is not clearly defined as price stability due to the fact that it has become the focus of central banks following the global financial crisis. Although there is no clear definition agreed by experts, some definitions can be listed as follows:

Crockett (1997) defined financial instability as the absence of financial instability based on financial instability. Financial instability is defined as a situation where economic performance deteriorates due to fluctuations in the prices of financial assets or the failure of financial intermediaries to fulfill their contractual obligations.

Laker (1999) defines financial stability as the avoidance of disruptions in the financial system, which may cause significant negative effects on real production in the most general sense. It is stated that these disruptions may cause financial institutions to face difficulties or may cause turmoil in financial markets. These turmoil especially in the financial markets cause interest in financial stability to intensify.

Padoa-Schioppa (2002) describes financial stability as the ability to survive shocks that can affect the system of payments and the process of saving savings into productive investments.

Issing (2003) describes the concept of financial stability as the misalignment of resources in the event of price instability in the financial markets that does not reflect the movements in the financial and macroeconomic variables, and this situation causes volatility in prices and instability of economic units and causes long-term contracts. It may be an obstacle to the entry of savings into the financial system.

Schinasi (2004) defines financial stability as the ability of the financial system to protect itself against external shocks or imbalances in an environment where both economic resources are allocated effectively and economic processes such as economic growth and social welfare are effectively carried out.

## **2.2. Factors Threatening Financial Stability and Financial Stability Indicators**

Bardsen (2006) stated that the factors that threaten financial stability can be handled in two ways and that the first of these two approaches focuses on risk factors arising from the financial system and developing and spreading. The second approach focuses on risk factors that arise from outside the financial system and reflect financial system fragilities that depend on macroeconomic conditions. Rapid growth in debt burden, volatility in asset prices and national or international macroeconomic turmoil adversely affect financial stability.

Mishkin (1997) emphasizes the necessity of understanding the factors that cause instability in order to prevent financial instability, in other words to ensure financial stability. On the other hand, these factors are divided into four categories: increases in interest rates, increases in uncertainty, negative effects of asset market on bank balance sheets and problems in banking sector.

International capital movements are seen as another factor that threatens financial stability. In fact, with the free movement of capital, it is expected to go to the country where capital can be used most efficiently and to support economic growth in the country where it is going. However, in case of any instability in capital movements, economies face great problems. In particular, short-term capital movements accelerate consumption by facilitating access to credit, while leading to an overvaluation of the national currency, leading to a divergence between domestic and external demand. This situation causes deterioration of the external balance and increases the economic sensitivity, thus adversely affecting macroeconomic and financial stability. Controlling the excessive volatility in international capital movements is important for financial stability in order to prevent

the damages caused by sudden capital outflows in Turkey and many developing countries, which are called as sudden stop in the literature. (Başçı, 2012: 3-4).

Another factor that threatens financial stability and is considered as the leading indicator of financial crises is the excessive increase in loans. Developing countries have learned this relationship many times in their economic background. Developed countries, on the other hand, realized that credit growth had a negative impact on financial stability as a result of the global crisis in 2008-2009 (Başçı, 2012: 2).

In the study of Mendoza and Terrones (2012), firstly, excessive credit growth periods were determined for the groups of countries and examined the main macroeconomic indicators and the indicators related to banks and firms in the specified periods. According to the study, it is concluded that excessive credit growth increases the fragility of the banking sector and is associated with financial crises especially in developing countries.

Borio and Drehmann (2009) focused on these issues and then focused on four methods used by institutions to measure financial stability. These; early warning indicators, market data on balance sheets, macro stress tests and vector auto-regression models. The simplest of these methods are the statistics obtained from the market data in the balance sheets. The Financial Soundness Indicators (FSI) prepared by the IMF in 2006, which consist of indicators such as the capital structure of banks and receivables to be liquidated, are among the most important of these statistics (Gadanecz and Jayaram, 2008: 366).

Early warning indicators are designed especially for the predetermination of the possible financial problems. Although there is an increasing interest in these indicators, there are some important features such as being forward-thinking and capturing any interactions that exist in old experiences (Borio and Drehmann, 2009: 15).

### **3. Macroprudential Policy Concept**

After the word macro prudence was first used in BIS meetings in the late 1970s, this concept developed silently. Even when it was first spoken, it was known by a small but growing number of people on the subject. When crises erupted, this concept supported policy makers in their regulatory and supervisory work (Borio, 2010: 1-2). The macroprudential policy, defined by BIS in 1986 as a policy aimed at maintaining the soundness of the

financial system as a whole, gained momentum in the 2000s. However, the real development was accompanied by the recent financial crisis.

Although there is still no consensus on its definition, the word macro prudence generally refers to the orientation of regulatory and supervisory regulations. It means that the policies to be implemented are designed to affect the whole system, rather than aiming at the soundness and security of an organization on an independent basis. The system operates from a top-down perspective for the desired safety standard. This perspective takes into account the fact that the source of the emerging risks depends on the collective movements of financial institutions (Borio, 2010: 1-2).

According to another definition, macro-prudential policies are defined as an effort to control the social costs related to the excessive contraction that occurs when financial institutions are subjected to a common shock (Hanson et al., 2011: 5).

The IMF, BIS and FSB (Financial Stability Committee) conducted a joint study in 2011 to provide information on the objectives and instruments of macroprudential policies, the identification and monitoring of systemic risk. In this study, three elements defining macro prudential policies have been agreed. These elements:

- 1- The purpose of macroprudential policies is to limit the systemic risk that causes major negative problems for the economy.
- 2- Macro-prudential policies address the economy as a whole, covering the interaction between financial and real economy.
- 3- Macro-prudential policies use tools that target hazards that cause systemic risk.

Macroprudential policy instruments are presented in Table-1.

**Table- 1: Macroprudential Policy Instruments**

Policy Tools	Conceptual Framework
LTV	The LTV ratio indicates the rate at which the loan is opened at the value of the property and is considered as one of the most important indicators of credit risk. Keeping the down payment in household purchases of housing and using the loan in the remaining amount or opening the loan as much as the full value of the property without paying any down payment may seem especially good for the people who do not have any savings. However, this poses a risk by increasing both the installment amount and the total amount of interest payments incurred. Therefore, LTV ratio has an effect on household borrowing capacity.
DTI	It is a prudential arrangement aimed at increasing the asset quality of banks when used alone. When used together with LTV ratio, it affects household borrowing capacity. The DTI ratio is a quick indicator of how much household debt can be borrowed for lenders.
Ceiling for Foreign Currency Loans	Foreign currency borrowers (unprotected borrowers), as well as foreign currency lenders, may be exposed to exchange rate risk.
Credit Ceiling	The ceiling affects total bank loans or loans to a particular sector. The ceiling on total loans or credit growth is effective in terms of the time dimension of systemic risk and the ceiling applied to loans given to a certain sector such as the housing market.
NOP	Prudential regulatory instruments, such as the NOP, aim to limit the exchange rate risk that all banks are exposed to jointly.
Limitations on Maturity Mismatch	This policy instrument is used to prevent the sale of assets at cheap or loss in order to overcome the liquidity problems that may arise as a result of the mismatch of asset / liability maturity structures. The fact that a few institutions remain in this situation due to financing problems may lead to a systemic liquidity crisis throughout the economy with the effect of contamination.
Required Reserves	This tool can be used for both dimensions of systemic risk. Firstly, since it has a direct limiting effect on credit growth, it affects the time dimension of systemic risk, secondly, it can be used to provide a liquidity buffer to alleviate the systemic liquidity shortage.
Circular Capital Buffer	It is aimed to provide additional protection to the banking sector during periods of excessive credit growth, which is generally associated with widespread risk increases in the system by using the reverse cyclic capital adequacy application.
Dynamic Provisions	The traditional dynamic reserve application is based on historical bank losses but can also be used to prevent cyclicality in the financial system. In this application, credit risk is started to be calculated as soon as the transaction starts, that is, when the borrower receives the loan.
Limitations on Profit Distribution	This application is used to ensure the capital adequacy of banks. Capital protection buffers in Basel III also serve the same function.

**Reference:** Lim vd., 2011: 8

### **3.1. Macroprudential Policy and Monetary Policy**

The purpose of monetary policy is to stabilize the price of goods and services in the economy. The objective of macroprudential policies is to provide the resilience of the entire financial system, but it is not the same thing (Bank of England, 2009: 11). A sound monetary policy needs to ensure price stability and reduce systemic risk as the financial system reduces the likelihood of being shaken by employment and inflation shocks. Thus, a more stable, more flexible and less cyclical financial system is expected to stabilize the real economy, increase the efficiency of monetary policy transmission channels and support macro prudential and monetary policies (Caruana and Cohen, 2014: 9).

Although the results of the analysis, which examined the relationship between macroprudential policies and monetary policy and mostly used the DSGE model, vary according to the shock, it is concluded that monetary and macro prudential policies are complementary policies, not interchangeable policies. In some studies that have reached similar results, it has been emphasized that macro prudential policies are not effective when used as monetary policy, and the necessity of using the most effective implementation of monetary prudential and macro prudential policies in order to reach the targets is emphasized. It has been concluded that macro prudential policies are used more frequently, especially in the specific financial sector deformations, as monetary policy is quite dull (in terms of affecting other macro variables) in fighting alone (IMF, 2013).

## **4. Macro Prudential Policy Tools Applied by the CBRT to Ensure Financial Stability**

While the CBRT tried to achieve its financial stability target especially after the 2008 crisis, it began to receive support from macroprudential policies. In this context, they try to prevent the existing risks that occur in the financial system through the monetary policies implemented and macro prudential policies that support these policies.

### **4.1. Required Reserves**

In order for banks to use them in the future difficulties, they have to deposit a certain amount of the deposits and other resources collected by the central bank to the central bank, and the ratio that determines this amount is called the required reserve ratio. The provision policy of the central bank, which increases or decreases the provision rate, affects the amount and cost of the loan that can be extended by banks. In other words, credit expansion is tried to be controlled by increasing or decreasing the

required reserves and liquidity risk is reduced by extending the maturities of deposits (Eğilmez, 2016).

CBT experienced increased importance given macro-financial stability after the 2008 global financial crisis and aimed to keep practicing internal exit from the crisis of the developed countries in the framework of monetary expansion and as well as implement their low interest rate policy because of slowing credit expansion arising from short-term capital inflows to Turkey and under control. In the aftermath of the 2008 global financial crisis, the CBRT first lowered the required reserve ratios for both Turkish lira and foreign currency in order to increase liquidity. Then, with the tendency of the markets to return to normal, required reserve ratios gradually brought back to their previous level.

## **4.2. Interest Corridor**

One of the policy instruments introduced by the CBRT towards financial stability at the end of 2010 is the interest rate corridor system. The CBRT opted to keep short-term interest rates low in order to avoid speculative capital inflows for financial stability, and as a result of these capital inflows detached from the economic fundamentals. However, interest rates affecting demand in the natural flow of life; interest on deposits and loans. The fact that the CBRT's policy rate may affect deposit and loan rates depends on the short-term market interest rate, which is the basis for interbank transactions. This can be achieved by preventing short-term market interest rates to deviate significantly from the policy interest rate (Özatay, 2012: 8).

The interest rate corridor system enables the CBRT to intervene daily or weekly against the shocks arising from sudden inflows and outflows through the credit channel and exchange rate channel without waiting for the monetary policy committee to convene. With the interest rate corridor system, there is an excessive or widening in the loans, and the uncertainty in the short-term interest rates increases or decreases and the effect of increasing or decreasing the uncertainty about the funding amount and cost of the CBRT's funding needs has a decreasing or increasing effect on the credit expansion of these banks. The CBRT can use the interest rate corridor through the foreign exchange channel to reduce the impact on the exchange rate due to the sudden inflows and outflows in short-term capital flows. For example, in case of sudden capital outflows, the CBRT can reduce the effect of the exchange rate on liquidity. In this case, the banks in need of funds sell their foreign currency to meet their funding needs. This reduces the pressure on foreign exchange in case of sudden capital outflows. Furthermore, the transaction has a deterrent effect on the

outflow of short-term capital as a result of the rise in short-term interest rates (Kara, 2012: 19-20).

### **4.3. Reserve Option Mechanism**

When excessive volatility in capital movements started to adversely affect macroeconomic and financial stability in late 2012, the CBRT started to use the Reserve Option Mechanism (ROM) as a policy tool to strengthen its foreign exchange reserves and provide banks with flexibility in their liquidity management (CBRT, 2012: 2). ROM is an application that allows banks to establish a certain percentage of required reserves in TL and in foreign currency and gold. The extent to which banks can use this opportunity is determined by the ratio of reserve options. The coefficients that determine the foreign currency and gold reserves that can be established per TL required reserves are defined as Reserve Option Coefficient (ROC) (Alper et al., 2012: 1).

Banks can determine the optimal ROC utilization rate within the ROM system by evaluating their costs according to the conditions. This enables the system to function as an automatic stabilizer. In other words, the withdrawal of foreign exchange liquidity from the market is not caused by the intervention of the Central Bank, but with the objective of maximizing banks' profits. The automatic balancer works as follows: in periods of increasing short-term capital inflows, as a result of the abundance of foreign currency in the market, the cost of ROC will increase as the cost is low compared to TL, and thus banks will prefer to keep a higher portion of TL required reserves in foreign currency. In the periods when short term capital inflows decrease, as the cost of foreign currency will be higher than TL as a result of the decrease in the market, TL will prefer to hold reserve requirement in terms of foreign currency for a lower portion of required reserves. In any case, in order for the system to function as an automatic balancer, banks should not use the full range of ROM provided (Alper et al., 2012: 5-7). The ROM's automatic balancing feature reduces the need for a wide interest rate corridor (CBRT, 2013: 91).

## **5. Conclusion and Evaluation**

In the aftermath of the global crisis, short-term capital inflows increased with the expansion packages implemented by the central banks of developed countries in 2010 made this divergence more pronounced. As a result of capital inflows, the Turkish Lira was overvalued and domestic loans increased. Rapid credit growth is considered as one of the most important factors threatening financial stability and it is a leading indicator

of financial crises. Moreover, foreign trade and current account deficit were added to credit growth.

As a result of these developments, the CBRT has implemented a new monetary policy strategy including macro prudential policy instruments. According to the new monetary policy strategy, the CBRT has adopted financial stability as well as price stability. These instruments are interest rate corridor, required reserves and liquidity management. This new application of the CBRT became more successful in 2011 with the regulations made by the BDDK.

As a result, although macro prudential policies began to be implemented in the aftermath of the crisis, no institutional arrangements were made regarding the implementation of macro prudential policies. The effectiveness of macroprudential policies is influenced by inter-institutional interaction and compliance. The best example of this is the increase in the effectiveness of the policies implemented by the CBRT in order to limit the rapid credit growth through the regulations made by the BDDK. Recently, the CBRT is the main actor in the implementation of macro prudential policies in order to ensure financial stability. However, as a result of the excessive involvement of central banks in financial stability during these implementations, the possibility of threatening the independence of the central bank due to the swelling of their balance sheets and the possibility of public debts that may arise after any financial crisis may be experienced. Therefore, in order to make the policies implemented more successful, it is important to make some new institutional arrangements in which the central bank is also effective.

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# ASSESSMENT OF FINDING WORKMAN, SELECTION AND PLACEMENT DECISIONS IN THE CONTEXT OF GESTALT SCHOOL

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## CHAPTER 18

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## ASSESSMENT OF FINDING WORKMAN, SELECTION AND PLACEMENT DECISIONS IN THE CONTEXT OF GESTALT SCHOOL

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### INTRODUCTION

Workman only contributes to the working life and offers labor it is more than a production factor. The employee has a profound meaning and role that changes the environment and demands of the organization, but also changes the organization. It provides the highest contribution to the organization requested from the workman in the working life. Therefore, choosing the right employee at the right time, at the right time, depends on the decisions of the specialist or manager responsible for the selection and placement process.

Reciprocal decisions made by both the workman and the expert or manager represent the moment of first contact and the beginning of an important process for the workman's future performance. The first contact provides insight into the individual as well as information about the organization. In this context, mutual decisions indicate the beginning of an important process since it is the first contact moment for the workman's future performance. The decisions to be made in this process are of great importance. The main subjects of the study, conscious awareness, being at the moment and gestalt contact, are related to what the person brings from the past and can affect the decisions of the person. As a matter of fact, it has been tried to determine whether the contact styles of the future prospective undergraduate students who will manage and implement the selection and placement process have an effect on the moment living and conscious awareness situations. In addition, it has been tested whether students' decision-making styles have any effect on memory and conscious awareness situations.

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## **Factors Affecting Selection and Placement Decisions**

### **To Decide**

The decision is the moment of the emergence of a thought, and no thought emerges in void. (Adair, 2003, p.5). The decision is to determine and select the solutions that lead to the desired results (Kinicki and Kreitner, 2008, p.249). Decision-making should not be considered as a behavior that can be experienced instantaneously alone. Decision-making behavior is influenced by individuals' past lives and is reflected in the decision moment. It can be misleading to evaluate decisions by reducing them to today (Sağır,2006,p.33). In this context, decision-making behavior can be evaluated as a process of projection that influences individuals' past experiences, personal characteristics and all other factors.

In particular, it is the ability to *sense the effects* described as the first stage in decision-making behavior, to detect problems related to possible situations and to detect symptoms before a problem arises. *The Define Goal* stage assign the purpose after a decision is needed; *collect information* stage, collect data about the decision to be made, review the limits; *create preferences* stage, creating possible options; *evaluate and decide* stage, taking into account all possible outcomes with positive and negative aspects and the implementation of decisions taken (Adair,2003, p.10). *Implementation and observation of the results* stage can be defined as the realization of the results of the decisions to be observed and the measurement of their effectiveness by evaluating the results obtained. In this respect, it can be said that the awareness of the experts or managers who will make decisions will be high and that their attention will be important on effective decision-making behavior.

Decision-making behavior is a complex process influenced by individual and environmental factors. Emotional state, personality traits, evaluator errors, expectations, communication skills and questioning, psychological and physical environment and demographic characteristics of the individuals who will make decisions have an effect on decision-making behavior.

## **Gestalt School and Its Basic Components**

### **Definition of Gestalt**

The term Gestalt refers to the dynamic organization of two or more related parts, a whole (Sharf,2012, p.241). When the human being is a working organism as a whole, the main theme of the school of gestalt

emerges as the coordination, but not the sum of the parts (Perls, 1980, p.5). The Gestalt school has its own structure, both as a school and it is a discovery that deals with human as a whole. People are with their moments of the past, the future and the present. The gestalt school covers people from all periods of time considers each person unique.

The Gestalt school represents a unique integrity that is inseparable. For a better understanding of Gestalt, three features should be mentioned. The first is an object, a human, an animal or an object, the second is the environment or environment in which this object is located, and the third is the relationship between this object and the environment (Daş,2014, p.4).

Fritz Perls trained as a psychoanalyst at the Vienna and Berlin psychoanalysis institutes and Wilhelm Reich who was both involved and influenced by his views in the gestalt school during this period (Sharf, 2012, p.242) suggested that strong emotions such as anger, fear, passion had an effect on muscles and that these feelings could be hidden by the theory of “character armor”. Perls saw this theory as a way in which awareness can be revealed in gestalt therapy and has given place in school(O’leary, 2013,p.5). Apart from these views, Weisz’s view of Zen Buddhism, particularly Freudian psychoanalysis, Moreno’s approach to psychodrama, and Sullivan’s interpersonal psychoanalysis have been instrumental in Perls ‘ focus on “now and here” and in evaluating person-environment interaction as a whole(Daş, 2014, p.9).

### **Basic concepts of gestalt school.**

#### ***Being in the here and now.***

One of the most important concepts of the gestalt school is “to be here and now” or “to be in the moment”. The concept of living in the moment emphasizes the fact that one lives in the present and present time, not in the past or the future(Haskan-Avcı, 2016, p.178). In the Gestalt school, the phenomenological perspective of the person emphasizes the concept of present and here, what they feel and realize at that moment. The phenomenological approach makes the person unique and emphasizes the importance of individuality at that moment.

The concept of now and here, emphasized in Gestalt, refers to being at a central point in a period of time flowing from past to future. Being at the moment is a phenomenological reflection of a part of a person’s past experiences (Yontef, 1993, p.309). Life, in the process between what happened and what is remembered, is what we squeeze into the present between the past and the future (Soysal vd. ,2005, p.275). In this respect,

it is expressed in school as if it were in the moment when talking about a memory about the past or concerns about the future. In this way, sensations, feelings, thoughts and behavior related to experiences or expectations are realized( Daş, 2014, p.51).

### ***Awareness.***

Awareness is a cognitive and affective activity. We don't notice a stimulus alone. In order to be aware of a stimulus, it must be strong enough to exceed a certain threshold (Dökmen, 2014, p.102). Awareness is to experience and know what is currently being done. It is a renewed and dynamic process at every new moment. Mindfulness is not a mental process alone. The moment of awareness is what one feels, thinks and perceives not only the self but also the interaction with one's own environment, past life and experiences, and inner life(Clarkson and Mckewn, 1993, p.44). Being aware is the state of consciousness that arises at the moment of experience, influenced by the past life. In Gestalt therapy, the main thing is to bring out the person's awareness at the time of therapy and to confront this situation. In this context, a moment of conscious awareness is aimed to emerge. Conscious awareness is to be aware moment by moment. It is to bring back what we have brought from our past lives in a painstaking way to the present. Conscious awareness demonstrates the intention to relive the present moment(Germer, 2013, p.6). Being aware is a discovery that there is no awareness at one end, or there is very little, while at the other end there is a full level of awareness(Daş, 2014, p.57). Comatose state or sleep state is a state of life where awareness levels are very low. However, at the other end of this pole there is a full level of awareness, defined as "aha". Aha life is a state of complete awareness and integrity by integrating parts simultaneously(Yontef, 1993, p.318).

### ***Contact.***

Contact is one of the main points of emphasis of the gestalt school. Contact is the moment of confrontation at the boundary of the organism, the other, and the environment. The contact limit is the point where "I" and "non-I " meet and diverge( Daş, 2002a, p.15). Contact is the integration of all parts of experience. Therefore, no experience can occur outside of contact(Clarkson, 2004, p.23). In this totality, experiences occur at the point where the boundaries of the person's self and the boundaries of the environment intersect, at the boundary of contact. The contact limit is a dynamic space because it bears one's mutual interaction with one's own and others(Gaffney,2012, p.156).

Contact leads to the growth and development of the person at the point of the level of awareness. Non-aware contacts do not contribute to the person's development (Daş, 2002, p.108). Good contact depends on the flexibility of the person's "I" boundary. I limit flexibility enables one to integrate and develop with the environment. Individuals who exhibit stereotypic behaviors, have prejudices, are closed to change, and are concerned about the future cannot make good contact with their environment and cannot improve themselves (Daş, 2012, p.113). Many of our physiological, psychological and emotional needs are addressed depending on our form of contact with the environment. Our contact forms in some cases lead to resistance to contact. Therefore, the needs cannot be fully met and the gestalt does not complete the cycle. These forms of contact are introjection, projection, confluence, desensitization, deflection, retroflection egotizm.

## **Gestalt contact forms.**

### ***Introjection.***

In general, introjection can be defined as acceptance in all its aspects. Introjection is an object in which a person is in a relationship and internalization as it is all aspects of the object (Flanagan, 2004, p.152). Introjection damages the person in the integration of the personality. It is difficult for a person who has taken contrasting attitudes to each other to experience "personality integration". Introjection is a useful form of contact in some cases based on learning. The learning of one's new things and the development of his / her skills are realized through the introjection contact form. Learning a new language, developing manual skills, learning to use a tool are examples of introjection contact (Daş, 2012, p.128).

### ***Projection.***

Projection can be defined as a way of understanding the present through past experiences. Interpreting a table, making predictions, demonstrating an attitude towards the future based on experience, putting the responsibility of mistakes made on another, blaming one can be given as an example of reflection contact. Projection is a process of interaction directed towards one's "spontaneous" environment, as opposed to a form of introjection contact. In reflection, aspects of the self are attributed to someone else. In this form, "full contact" cannot be achieved between the "self" and others (Sharf, 2012, p.249).

### ***Retroflection.***

The person can be said to exhibit a form of “retroflection” contact if he or she is importing the energy he or she needs to direct into the environment, not coming into contact with the environment, and trying to self-supply the needs. Retroflection in the form of contact, the person sees the environment as a part of himself and turns the environment towards himself (Delisle,2013, p.86). Retroflection the form of contact consists of what we want others to do to us or what we want others to do to us. People who use this form of contact use the phrase “I can do it myself” a lot (Sharf,2012, p.249).

Retroflection contact form can changed beneficial or harmful varies according to the circumstances. Retroflection is a healthy form of contact if it protects the person’s boundaries, prevents the person from getting hurt, or increases the person’s confidence. Indeed, it is a useful form of self-rotation contact for an angry officer to close one’s own mouth or wring their hands so as not to yell at the person in front of them(Daş, 2014, p.176).

### ***Confluence.***

Confluence can be defined as a state of integration with one’s environment in general. In the form of intertwining contact, the person loses the boundary between himself and others (Singer,2007, p.35). Confluence contacts of people act as if they ignore their “self “ and ignore their own values, opinions, feelings and thoughts. Those who feel the need to be strongly accepted hide their true feelings and thoughts (Sharf,2012, p.249). In this respect, people who use the confluence form of contact are those who are compliant, do not object, are not aware of their own needs, take environmental conditions into account and avoid conflict (Bozkurt,2006, p.34).

In some cases, nesting can benefit both in relationships and in one’s life. One’s ability to understand or empathize with the loss of another’s partner, to add experience to one’s life through meditation(Clarkson and Cavicchia, 2014, p.65).

### ***Desensitisation.***

Desensitization can be defined as the loss of feelings or the start of numbness. Desensitization is the state of not feeling and reacting to physical or emotional stimuli. An example of physical desensitization is that a person who works under extreme pressure can stay sleepless and work excessive hours and not eat anything long hours to train the job(Clarkson

and Cavicchia, 2014, p.60). Emotional desensitization is associated with one's past life. The painful experiences of the person in their past life cause the person to become desensitized (Daş, 2012, p.138) and act as a shield for the person to cope with the same emotions. Using a form of depersonalization contact is useful in some cases, especially provided you are aware of it. An example of this is the difficulties that a student with an exam has endured for a particular purpose, such as studying late and a runner with a sore knee trying to complete the race(Daş, 2012, p.139).

### ***Deflection.***

Deflection is a way of avoiding sensations and contacts from the environment. Deflection can be defined as avoiding direct contact with another person, in other words, reducing environmental awareness (Blom, 2006, p.36). Avoidance of speaking in a direct contact, not making eye contact and implying are examples of diversion contact. In the form of deflection contact, the person maneuvers against potential hazards, channeling contact to another area (Clarkson and Cavicchia, 2014, p.61). The deflection contact protects the person from a number of negative emotions. For people who hesitate to experience negative emotions such as abandonment, exclusion and rejection, the deflection contact form has a protective feature (Daş,2012, p.155).

### ***Egotizm.***

The realization of contact depends on the fact that the two entities interact at the contact boundary. In the form of egotizm contact, there is no meeting of two entities. The person is constantly in contact with himself or herself. In this case, one's level of awareness of environmental factors is low(Daş, 2012, p.188). The basis of the contact form of egotizm lies in the idea that the person will be considered worthless in the case of recognition. For this reason, the person is constantly turning to himself as the first assessor and evaluating himself( Gökdemir-Aktaş, 2002, p.35).

## **RESEARCH**

### **Model of Research**

#### **Purpose of the research.**

The aim of the research is to obtain application-based data with the theoretical knowledge about the effects of Gestalt school on selection and placement decisions. The fact that there has not been a similar study in our country makes it a necessity to carry out the research.

In the study, it was aimed to determine whether the contact patterns of future undergraduate students who will manage and implement the selection and placement process have an effect on their live the moment and conscious awareness. In addition, it has also been tested whether students ‘ decision-making styles, living in the moment and conscious awareness situations have an impact.

At the same time, variables such as the age of the students, their classes, whether they had previously worked in the field of human resources, and their current working status have also been analyzed to determine whether the results of the male and female students differ.

### ***Hypotheses of research.***

The main hypothesis of the study was that the students who decide to select and place workers in their working life “aimed to measure the effect of Gestalt contact forms on living in the moment, conscious awareness status and decision making styles and the effect of living in the moment and conscious awareness status on decision making styles” and the relationship between them was defined as “positive” and “significant”.

H1: There is a positive and significant relationship between conscious awareness of the individuals who will make the decision of selection and placement and the situations of living the moment.

H2: There is a positive and significant relationship between conscious awareness and gestalt contact forms of individuals who will make selection and placement decision.

H3: There is a positive and significant relationship between conscious awareness and decision-making styles of the individuals who will make the selection and placement decision.

H4: There is a positive and significant relationship between gestalt contact and the living conditions of the individuals who will make the decision for selection and placement.

H5: There is a positive and significant relationship between the moment of living and the decision-making styles of the individuals who will make the decision for selection and placement.

H6: There is a positive and significant relationship between gestalt contact styles and decision making styles of the individuals who will make the selection and placement decision.

### *sub-hypotheses of research*

H7: There is a significant relationship between the conscious awareness status and demographic variables of the individuals who will make the selection and placement decision.

H8: There is a significant relationship between the demographic variables and the living conditions of the individuals who will make the selection and placement decision.

H9: There is a significant relationship between the gestalt contact patterns and demographic variables of the individuals who will make the selection and placement decision.

H10: There is a significant relationship between demographic variables and decision-making styles of the individuals who will make the selection and placement decision.

### **Scales used in research**

The survey forms used in the research include the conscious awareness scale (CAS), which has been adapted to Turkish to measure people's focus on current situations and events, live the moment scale (LMS), the Gestalt contact forms scale, which has been adapted and rearranged to Turkish to measure structures called contact forms in the Gestalt approach(GCFS), the decision-making styles scale (DMSS) is a scale designed to measure individual differences in decision-making styles and adapted to Turkish language. On the scale of decision-making styles; *rational decision-making style* explores one's decision making by judiciously evaluating alternatives, while *intuitive decision-making style* is one's assessment of one's decisions by relying on their shares and through premonition. *Dependent decision-making style* of the person influence others in the decision-making process make decisions while under exists as *avoidance decision-making style*, and self-avoidance tendency the person in the decision making process, *sponaneus-instant decision-making style* of the person at that moment, to decide without thinking much about it describes. (Scott and Bruce,1995, p.820).

The validity and reliability of the scales were, 81/, 87/, 88 and ,82 respectively. The survey also includes questions about demographics.

Application, Dokuz Eylül University, Faculty of Economics and Administrative Sciences, Department of Labor Economics and Industrial Relations 2017-2018 academic year 1. and 4. the sample analyzed consisted of 225 students, 166 of whom were female and 59 of whom were male.

## The findings of the research

According to the findings, a positive and significant relationship was found between the conscious awareness of the students involved in the study and their experiences of the moment. According to this result, the *H1 hypothesis has been accepted*. Similarly, significant relationships were also found between decision-making styles and demographic variables. According to the results of the analysis, “students ‘ states of live the moment are increasing as their conscious awareness increases.” When the difference analysis results of demographic data were analyzed, male students used more avoidance decision-making style than female students, students in the 22-29 age range used more rational decision-making style than students in the 18-21 age range, it can be said that 4th grade students mostly use rational decision making style compared to 1st grade students. According to their current working situation, the students who are not working use rational and intuitive decision-making style more intensely than the students who are working. According to these results, the *H10 hypothesis was partially accepted*.

There were significant correlations, conscious awareness and live the moment between the retroflexion and deflection sub-dimensions of the GCFS and the rational and spontaneous-instant decision making styles of the DMSS; between rational decision making, intuitive decision making, avoidance decision making, dependent decision making, spontaneous-instant decision making style, deflection and reversal subscales of GCFS. According to this; there was a negative, moderately significant relationship between conscious awareness and retroflexion in the 99% confidence interval (-528). A negatively, moderately significant relationship was found between conscious awareness and deflection in the 99% confidence interval (, -590). In this context, it is possible to say that as the students use the retroflexion and deflection contact form, their conscious awareness decreases. On the other hand, there was a positive and very low level relationship between conscious awareness and rational decision-making style in 99% confidence interval (, 222), while 95% confidence interval (-173) between conscious awareness and spontaneous-instant decision-making style found a very low level of significant relationship. In this context, it is possible to say that students use rational decision-making style and spontaneous-instant decision-making style less as conscious awareness increases.

There was a negatively, moderately significant relationship between live the moment and retroflexion in the 99% confidence interval (,-687). There was a negatively, moderately significant relationship between live the moment and deflection in the 99% confidence interval (,-515).

In this context, it is possible to say that as students use the way of retroflection and deflection contact forms, their situation of live the moment will decrease. However, the situation of rational decision making styles between live the moment with a 95% confidence interval (.167) positively, there is a significant relationship with live the moment while at a very low level of spontaneous-instant decision-making style between the 95% confidence interval (.145) there was a positively correlation at a very low level. In this context, it is possible to say that students use the rational decision-making style as their moment situation increases, while they use the spontaneous-instant decision-making style less.

A very high level, positively correlation was found between Gestalt contact forms and retroflection in the 99% confidence interval (.919), while a high level, positively directional correlation was found between gestalt contact forms and deflection in the 99% confidence interval (, 842). In this context, it is possible to say that the more students use the gestalt contact form, the more they use the retroflection contact form than the deflection contact form. However, gestalt contact forms with rational decision-making styles between a 99% condence interval (-,200) in a negatively, at a very low level while there is a significant relationship with avoidance decision making styles between gestalt contact forms a 95% confidence interval (.177) positively, there was a positive correlation at a very low level. In this context, it is possible to say that as students use gestalt contact style, they use less rational decision style and avoidance decision style more.

A positively, moderately, significant relationship between decision-making styles and rational decision-making style in a 99% confidence interval (.545); a positive, moderately significant relationship between decision-making styles and intuitive decision-making style in a 99% confidence interval (, 697); a positively, moderately, significant relationship between decision-making styles and avoidance decision-making styles in a 99% confidence interval (, 512); a positively, moderately, significant relationship between decision-making styles and dependent decision-making in a 99% confidence interval (, 617); positively, moderately, significant relationship between decision-making styles and spontaneous-instant decision-making style (557) was found.

A positively, moderately, significant relationship was found between retroflection and deflection contact forms in the 99% confidence interval (, 560). In this context it is possible to say that students use the deflection contact form as they use the retroflection contact form.

## CONSEQUENCE

The aim of the study is to determine whether the contact styles of the future executive candidates who will make selection and placement will have an impact on live the moment and awareness status. Together with this, it has been tried to determine how the decisions of the people who made the selection and placement decisions affect their decision styles today.

When the number and quality of samples are taken into account, especially 4. it has been estimated that the relationship between conscious awareness and moment-living situations will rise to a high level within the framework of the competencies gained during academic education of the working economy and Industrial Relations students aged 22-29, while decision-making styles will result in rational decision-making style. According to the results, it was determined that the relationship between the conscious awareness and live the moment of the students was used at the middle level and the intuitive decision style was used more than other decision making styles.

According to the findings, when the students' conscious awareness increases, their also live the moment situation increases, making coaching and mentoring based practices more important than in the past because of the identity of the students to be the future executive candidates. At the same time, it will be a valuable effort for the managers to evaluate the employees as one and unique and to carry out trainings to support the employees to be aware and present, and to arrange meetings with the employees at regular intervals, both to make the employee feel unique and to increase their conscious awareness.

It can be said that the sample reflects realistic results that can be evaluated both within the framework of gestalt school and in the process of selection and placement. According to the results, it is possible that the expert or manager who uses the deflection and reflection contact form cannot make a rational decision during the interview. In this case, it may be said that the right employee cannot be placed in the right job. In order to increase the self-awareness and conscious awareness of experts and managers in working life, an interview process should be applied under the supervision of an objective observer and short-term returns should be made to him.

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**PORTFOLIO OPTIMIZATION WITH  
OPTION IMPLIED INFORMATION:  
AN APPLICATION IN BORSA  
ISTANBUL**

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<sup>1</sup> Extracted from the PhD thesis of Thea ANGURIDZE titled “PORTFOLIO OPTIMIZATION WITH OPTION IMPLIED INFORMATION:AN APPLICATION IN BORSA ISTANBUL” (Anadolu University, Social Sciences Institute, 2019)

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# PORTFOLIO OPTIMIZATION WITH OPTION IMPLIED INFORMATION:

## AN APPLICATION IN BORSA ISTANBUL

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### 1. INTRODUCTION

Portfolio optimization is one of the most important topics in the field of investment management. Investment management is a science about making good investment decisions. Investments should match investors' objectives and assets should be allocated to balance risk against return to attain superior performance. The mathematical problem of portfolio optimization was investigated by Professor Harry Markowitz in 1952 and he was awarded by the Nobel Prize in economics in 1990. Modern Portfolio Theory presumes that investors focus on minimizing risk while obtaining the highest possible return. The fundamental goal of Modern Portfolio Theory (MPT) is to maximize portfolio's expected return for a given amount of risk. Markowitz' model has had an important impact on the investment community and is still widely used for solving hedging, asset allocation, portfolio construction and other portfolio management problems.

In Markowitz's approach, the optimization problem is formulated with respect to two criteria: the reward of a portfolio that should be maximized and the portfolio risk that should be minimized. Investors have always been exceedingly aware of returns. Risk is related to the volatility of future outcomes. The higher is the risk, the higher will be the expected return, as there is a trade-off between return and risk. Total risk of investment is measured by variance or standard deviation. It is not recommended for the investor to put all his/her funds in a single investment, but to diversify the risk by investing in different types of investment tools. Simply, the essence of diversification is: "do not put all your eggs in one basket". However, not all risk can be avoided by diversification. The risk related to the movements in an economy is defined as market risk and sometimes is considered as non-diversifiable risk (Dobbins, Witt, Fielding, 1994).

The main insight of MPT is that risk and return should not be considered alone, yet they should be estimated by how an investment influences the

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portfolio's overall return and risk. Generally, the lower the correlation between securities, the lower is the risk of the portfolio. Hence, risk-averse investors tend to select securities which have low correlations (Markowitz, 1959). MPT makes a presumption that investors are risk-averse, which means that investors prefer a less risky portfolio rather than a riskier one for a given level of return. This suggests that an investor is willing to take more risk if she or he expects more reward. In the presence of two criteria, there is not a single optimal solution (portfolio), but a set of optimal portfolios, the so-called efficient portfolios, which tradeoff between risk and return (Anagnostopoulos & Mamanis, 2011). Modern Portfolio Theory suggests that it is possible to construct an "efficient frontier" of optimal portfolios that offers maximum return for a given level of risk.

Recent studies of portfolio optimization have suggested that portfolios based on the historical stock price data yield poor performance and that measures derived from option prices such as option-implied volatility risk premium are helpful in predicting stock returns (Plyakha, Uppal, & Vilkov, 2012). Historical volatility shows how stock prices fluctuate on daily basis. Implied volatility does not depend on historical prices of stock, but it forecasts how the marketplace anticipates stock's volatility in the future, based on the changes in the stock options prices (L.Canina, S. Figlewski, 1993). The primary purpose of this empirical study is to examine the portfolios constructed with historical (back-forwarding) and implied (looking-forward) information and by comparing their performances confirm that portfolios based on looking-forward information outperforms the portfolios based on historical information in the Borsa İstanbul case, as the Turkish stock market is one of the most important emerging markets.

We investigate if implied information in stock options prices can be used in order to improve portfolio's performance. Using option-implied volatility as forward-looking information to create a portfolio strategy, we develop a multi-stage portfolio optimization model using the option prices to simplify market risk. We explore if using option-implied volatility and option-implied correlations can help improve portfolio performance.

To our knowledge, this study is one of the first studies which employs option data for the purpose of portfolio optimization in Turkey, although there are various similar studies in developed markets. In the following sections of the introduction we summarize the fundamental concepts related to the Modern Portfolio Theory and Options. Moreover, we explain the concept of risk in investments and how it is measured.

## 1.1 Modern Portfolio Theory

Markowitz is considered as the father of modern portfolio theory on the basis of his work on portfolio selection in 1952. However, Roy (1952) is the forgotten father of modern portfolio theory, who claims the equal portion of this honor. In this section we summarize their contributions.

Markowitz's (1952) article is about portfolio selection, which presented variance of return  $V$  and expected, mean return  $E$  of the portfolio. This article assumes that predictions and beliefs about the securities follow the same probability rules that random variables do. According to this assumption, the expected or future return of a portfolio is the average of expected returns of individual securities in the portfolio. The variance of the portfolio return is a function of the variances of the individual securities as well as the covariance between individual securities and the weights of these securities in the portfolio. Markowitz's paper (1952) distinguishes between inefficient and efficient portfolios. Markowitz describes efficient frontier as a set of efficient mean-variance combinations and suggests investors select the set for the desired risk-return combination. He uses geometrical analyses of three and four security examples in order to illustrate properties of efficient sets by assuming non-negative investments. In the 1952 article, Markowitz showed that the set of efficient portfolios is linear and the set of efficient mean-variance combination is parabolic.

Modern Portfolio Theory (MPT) is an extension and formalization of diversification in investment, the idea that claims that owning different kind of assets is less risky rather than owning just one type of asset. MPT uses variance of asset prices as a proxy of risk. According to MPT, there is trade-off between return and risk. For years, investment managers and advisers were focused on returns, as risk was not understood. MPT pays attention to risk at least as much as return. Investors can make decisions about the risk they are ready to take, though they cannot make any decisions about the return they will achieve, as it depends on factors beyond their control. Yet, they can predict that the greater is risk, the higher will be future return. (H. Markowitz, 1952). In short, Markowitz's Mean Variance Model is a mathematical structure, which helps investors to maximize expected return with a given level of risk.

Another important issue that (H. Markowitz, 1991) dealt with is the relationship between securities. Assets should be chosen not only for their own characteristics, but also for their relations with other entities. However, if securities' returns are not correlated, the risk may be eliminated by diversifying the portfolio. The correlation among returns is not the same for all kind of securities. Generally, it is expected that the return of the

securities from the same industries are more correlated rather than those from different industries. In order to reduce risk, we should avoid a portfolio with securities which all are highly correlated to each other. For investors the most desired is portfolio on the efficient frontier, because it contains portfolios with the highest return for different levels of risk. In MPT, portfolio optimization is based on the mean-variance model, where risk is defined as variance. Markowitz's optimization model has disadvantages as well. It has difficulties with computing large quadratic problems.

Roy (1952) also suggested to make portfolio choices on the basis of variance and mean of the portfolio. He recommended to choose the portfolio which maximizes portfolio's  $(E-d)/\sigma$ . Where,  $d$  is a devastating return and  $\sigma$  is a standard deviation of the return. Roy's formula is similar to Markowitz's formula and includes the covariance between the returns of securities. The principal difference is that Markowitz's formula requires non-negative investments, while Roy's allows the amount invested in any security to be negative or positive. The second difference is that Markowitz suggests the investors to choose desired portfolios from the efficient frontier, while Roy proposes to choose a specific portfolio.

## 1.2 Options

Options were first introduced in London in 1694. When the Put and Call Dealers Association and Brokers established standards and rules which caused a degree of the reputability for options, stock options became commonly used and better understood by investors as a tool of hedging against price changes and gaining possible tax savings (Friedentag, 2009). Options are not traded just only on traditional products, such as, commodities, stocks, interest rate and foreign currencies, but also on new products as well, such as, insurance, inflation, pollution and real estate. The number of option markets have increased dramatically and the knowledge of investors have become more and more advanced (Natenberg, 2014).

Despite its complexity, options can be defined by a single word: choice. Except options, all financial contracts are based upon locked-in assurances for the seller and the buyer. Buying the option gives the investor a choice. We should underline that option gives the right the holder to do something and the holders do not have to exercise this right. This characteristic makes options different from other derivatives such as futures and forwards, where the holders have to sell or buy the underlying asset. (Hull, 2003).

There are two kinds of options: a call option and a put option. The call option gives right the holder to buy an underlying asset by a specific date for a specific price. The put option gives right the holder to sell an

underlying asset by a specific date for a specific price (Hull, 2003). If the underlying asset is one of the particular indexes, such as Standard & Poor (S&P 100), then these options are called the index options. If the underlying product includes common stock, then such kind of options are called equity options. Options on treasury securities, interest rates, futures and commodities are also available (D. Eisen, 2000)

The price remarked in the contract is known as the strike price or exercise price. The date determined in the contract is known as maturity or expiration date. American options can be exercised any time up to the expiration time, but European options can only be exercised on the expiration date. On exchanges, mostly American options are traded. Analysis of European options are usually easier rather than American ones and some of the characteristics of the American options are often deduced from its corresponding European ones (Hull, 2003).

Options are traded in the over-the-counter markets as well as in organized exchanges. However, most of the trading of stock options takes place on the exchanges. In USA, the major exchanges are the Philadelphia Stock Exchange, the Chicago Board Option Exchange, the American Stock Exchange, the Boston Options Exchange and the International Securities Exchange. Trading of stock options include more than 1000 stocks. One contract gives the holder the right to sell or buy 100 shares at a particular strike price. (Hull, 2008).

### 1.3 Risk

The word risk can be defined as the dispersion of outcomes around the future value. Mathematically, standard deviation and variance measure the dispersion around the future return (Fabozzi, F. J., 2011). The variance of the variable is measure of a variability of the possible outcomes around the expected return. Standard deviation is the square root of variance. The variance of returns can be calculated with the following formula:

$$var(R_i) = \sum_{i=1}^N p_n [r_n - E(R_i)]^2$$

Frequently, one random variable is connected with another random variable. Statistically the measurement of the connection between two variables is called covariance. It represents the direction of the connection. The covariance is positive if variables tend to move in the same direction, and it is negative when they move in the opposite direction. This statistical perception can be used to analyze the situation when a price movement of

one asset is connected with other assets. In this situation, the covariance between the returns of two assets,  $i$  and  $j$ , symbolized as  $\sigma_{ij}$  and can be calculated as follows:

$$\sigma_{ij} = E\{[r_i - E(r_i)][r_j - E(r_j)]\} = \sum_{s=1}^S P_s \{[r_{is} - E(r_i)][r_{js} - E(r_j)]\}$$

Where,

$r_{is}$  is a rate of  $i$  asset when state  $s$  happens. Some variable's covariance with itself equals that variable's variance and when  $i=j$ , then the above equation becomes:

$$\sigma_{ii} = E[r_i - E(r_i)]^2 = \sigma_i^2$$

Correlation coefficient is another statistical measure between two random variables and is obtained from the covariance. The difference between these two kind of measures is that the correlation coefficient is standardized by dividing the covariance by the product of standard deviation of two variables. The correlation coefficient between two variables  $X$  and  $Y$  is computed as follows:

$$P_{XY} = \frac{\sigma_{XY}}{\sigma_X \sigma_Y}$$

The correlation coefficient is always less rather than or equal to 1 and bigger than or equal to -1.  $-1 \leq P_{XY} \leq +1$

To construct a diversified portfolio, the analyst must know the correlation coefficients between all assets under consideration. If  $P_{ij}$  is +1, then the returns of assets  $i$  and  $j$  are perfectly positively correlated, at the same time they move to the same direction. If  $P_{ij}$  is 0, then the return of assets  $i$  and  $j$  are not correlated. If  $P_{ij}$  is -1, assets  $i$  and  $j$  fluctuate conversely and are perfectly negatively correlated. (J. C. Francis, 2013)

## 2. LITERATURE REVIEW

Since portfolio selection is an important issue among investors and policy makers, researchers have given a special attention to the subject of portfolio optimization. There are numerous papers about portfolio optimization using different methodologies and techniques. According to many studies, option-implied volatility is a strong forecaster of future

volatility in the equity market. Thus, option implied information is used in several studies for portfolio optimization purposes. This chapter presents the summary of relevant literature about portfolio optimization and option implied volatility. Previous studies are sorted out according to similar methodologies and techniques.

H. Markowitz, who is considered as father of Modern Portfolio Theory (MPT) wrote his first paper titled “Portfolio Selection” in 1952. This seminal paper is about portfolio optimization and helps investors to allocate investments between different securities. He introduced the efficient set of portfolios with maximum return with a given level of risk. Mean-variance optimization (MVO) is a quantitative tool, which allows investors to make allocation by considering the trade-off between return and risk. Markowitz (1959) in his book titled “Portfolio Selection: Efficient Diversification of Investments” importantly extended findings from his paper portfolio selection (1952).

James Tobin (1958) in his article titled “Liquidity Preferences as Behavior towards Risk” based on Markowitz work created the “efficient frontier” and “capital market line”. According to Tobin’s model, investors, no matter what their risk tolerance level is, will maintain stock portfolios in the same proportion since they have similar expectations about the future. As a result, Tobin concludes that their investment portfolios will diverge just in their proportion of bonds and stocks.

Later, Harry Markowitz (1959) suggested another measurement of risk, semi-variance of returns. Markowitz (1959) discussed semi-variance and claimed that portfolios based on semi-variance have better performance rather than those based on variance. Moreover, H. Markowitz (1991) suggested that semi-variance is a more reasonable measure of risk. Markowitz (1993) claimed that as investors worry about underperformance than over-performance, semi-variance is a more suitable measure of risk rather than variance.

Boasson et al. (2011) used mean-semi-variance approach in order to measure the downside risk in optimal portfolio selection. They measured return dispersions below the expected return of the investment return. They used the sample of 7 exchange traded index funds which includes several kinds of securities to test and compare the differences between asset allocations and optimal portfolios. They constructed portfolios using mean-semi-variance approach and traditional mean-variance approach. They showed that semi-variance approach provides desirable benefits. Portfolio optimization under the semi-variance model improved portfolio’s expected return, while minimizing its downside risk exposure.

Konno, Waki, & Yuuki (2002) explained the attractiveness and importance of using lower partial risk as called downside risk in portfolio management. The aim of this paper is to review the important characteristics of this measurement and obtain alternative measurements, such as lower semi-absolute deviation, lower semi-variance, conditional value-at risk and below the target risk. They proposed that these risk measurements are useful for controlling the downside risk, when the asset distribution is non-symmetric. Their sample consists of 104 assets and 105 scenarios. According to results MCVaR, M-LSAD and mean-lower partial risk models can control portfolio's downside risk, when the distribution of returns are not symmetric nor normal.

Grootveld & Hallerbach (1999) explained that the popularity of downside risk among the investors has been growing. The paper focuses on the similarities and differences between downside risk and variance measures, from the theoretical and empirical point of view in USA. Empirical results showed the differences between portfolios which are based on variance and semi-variance. According to findings, downside risk approach tends to favor stocks with the minimum risk point. The differences in portfolio composition with downside risk optimization are significantly large compared to the portfolio optimization with mean-variance approach.

Galsband (2012) investigated the downside risk of international stock returns in 14 major industrialized economies worldwide, including Canada, the US and twelve major EAFE countries. The sample period is 1975-2010 and she shows that the world's largest equity markets can be rationalized by differences in sensitivities of international asset returns to the downside shocks. Generally, international value stocks are sensitive to market's permanent downside shocks.

Yan, Miao, & Li (2007) utilized Markowitz's semi-variance portfolio selection model. They formulated multi-period semi-variance model. For solving this model, they use genetic algorithm (GA) and particle swarm optimizer (PSO). According to the authors, for the need of investors and reality of financial markets, measuring the risk by variance should be replaced by semi-variance as the findings showed that the method is evidently superior.

Chang, Christoffersen, Jacobs, & Vainberg, (2012) found option-implied skewness and volatility as a strong predictor of future beta, and suggest that company beta can be estimated from skewness and option-implied volatility measures from index options and equity. They compare option-implied beta with historical beta and find out that option-implied

betas contain information which is not contained in historical beta and option-implied betas have important predictive power for future betas which increase beyond options' maturities. According to the empirical findings of this paper, if the underlying risk-neutral distribution is more negatively skewed, then option-implied betas are higher. They also prove that the stock's option-implied beta is relatively determined by the difference between the skew of the index's risk-neutral distribution and stock's risk-neutral distribution.

Kempf & Korn (2012) developed new estimators of the covariance matrix, which totally relied on forward-looking information. This estimator required implied volatility and implied correlation. Second, the core contribution is that they tested this new method on GMVP, which is based on the covariance matrix of implied estimators and found that it performs much better in the out-of-sample for a sample of 30 stocks from Dow Jones Industrial Average (DJIA). The findings of the empirical study give 2 recommendations to investors. First, strategies which are based on fully-implied estimators outperform the benchmark strategies, and mostly are not beaten by other strategies. Second, if investors want to use historical estimators, they should use the most recent date and shrinkage estimators.

Plyakha et al. (2012) used option-implied information in order to improve the selection of the mean-variance portfolio, with large number of stocks and to identify which option-implied information is the most useful to improve the out-of-sample performance. They measure the performance of portfolios using Sharpe ratio, turnover and volatility. As the benchmark, they use 1/N portfolio. Their findings prove that using option-implied volatility reduces volatility of the portfolio. Also using implied volatility and option implied model-free skewness can achieve higher Sharpe ratio rather than by ignoring option-implied information. They conclude that stock options prices include information which can be used to improve the performance of the out-of-sample performance.

Kostakis, Panigirtzoglou, & Skiadopoulos (2010) used market option prices (also known as option-implied distribution) for asset allocation problem. They used risky and risk-free assets, implied spread, which was taken from S&P500 futures options and then converted to risk-adjusted ones. They used the stock index implied distribution as an input for calculating the optimal portfolio. According to empirical findings using option-implied information increases obtained risk-adjusted return of investor's which makes meaningfully better off compared with the historical distribution.

Driessen, Maenhout, & Vilkov (2013) developed a model of correlation risk pricing for stock returns. They used two samples, which are, the narrow stock market index DJ30, from 1997 to 2012 and the broad stock market index S&P500 from 1996 to 2012. According to findings, there is a big negative risk premium in 1996-2012, with average option-implied correlation 39.5% for S&P500 and 46% for DJ30, with average realized correlation 32.6% for S&P500 and 35.5% for DJ30. Index options seem expensive in the sense that risk-neutral expected correlation in their prices is considerably higher than average realized correlation, but this high price reflects insurance cost against the unexpected correlation increases in risk and resulting loss in diversification benefits. Another core result is that implied correlation has significant predictive power for future stock market excess returns, particularly, at the 6-month and 1-year horizons.

Bahaludin, Abdullah, & Tolos (2017) used option-implied distribution as an input in asset allocation. The data is divided into two, option prices data and historical prices data. The data consists of stocks, which are listed in Dow Jones Industrial Average (DJIA) index. The sample period is 1/1/2009-12/31/2015. As an alternative of using historical prices, they used option prices to build a portfolio. The performance is measured by Sharpe ratio and standard deviation of portfolio. Findings showed that the portfolio based on risk-world and risk-neutral densities exhibit statistically significant differences. Moreover, the portfolio constructed from the risk-world density performs better rather than from the risk-neutral density.

Rehman & Vilkov (2011) used U.S. exchange-traded individual stock option data and showed that ex ante skewness is positively correlated with future stock returns. They measured ex ante by using the model free implied skewness (MFIS) of the distribution of risk-neutral return and explained that high MFIS stocks perform better, rather than low MFIS. Using MFIS, it is possible to identify the variation of a value of a firm from its basic value. The most overrated stocks have the most negative ex ante skewness. In contrast to historical skewness estimates, ex ante skewness is related positively to the future returns of the stocks.

Vilkov & Xiao (2013) proposed a forward-looking variable, which directly evaluates the expected stock or market crash size, and condition of realization. With this variable, they made predictions of crash in the cross-section stocks and market index. The main aim of their paper is to estimate a stock specific and market wide tail loss measure (TLM) from the put options, traded at out of money and to show that an ex ante magnitude is positively correlated to the future realized crashes. When there is no crash, higher loss expectations through the immediate decline in the value of asset are related with the higher premium to be gained for taking risk.

TLM contains information about the future stock returns over implied correlation (IC) and variance risk premium (VRP) to predict the future returns of market. For getting final results they proceed some steps: first, they use (EVT) extreme value theory, in order to estimate the TLM from perceived out-of-the-money option prices. Then, they conduct time-series test, using the robust regression and show that when standard deviation increases in the TLM, it causes ultimate positive change in the weekly return of market. Next, they exercise optimization of portfolios using option-implied variables and compare it to a non-informative portfolio, and find out that the only variable which gives significantly useful information is implied correlation. On the final stage they study stock-specific TLM and stock returns cross-section and they conclude that TLM is positively correlated with the expected return.

Buss, Schoenleber, & Vilkov (2017) used variance risk premium and implied correlation for predicting market returns, with variance risk premium predicting market return only one quarter ahead. They address two core issues in the paper: first, they build an ex ante covariance (correlation) matrix from the option prices without using any historical information to estimate linear factor model obtained by current option prices, and second they identify which link of implied correlation forecasts the market returns. They found that correlation and variance risk premiums differ according to sectors of economy. That means that stocks in various sectors have heterogeneous exposure to underlying factor. Implied correlation forecasts systematic diversification risk and option-implied covariance matrix which is based on implied correlation between and within economic sectors and it might be used for extracting statistical factors which better explain dynamics of stock returns.

Davari-ardakani, Aminnayeri, & Seifi (2016) considered multistage portfolio optimization model with NYSE options and stocks, they developed optimization model, which employs options for mitigating market risk. In their methodology, they used dependence structure of different security returns and they considered serial correlations of each security return. They used Black-Scholes model for determining European option's call and put prices. They also used back-testing simulations for comparing multistage models to single-stage ones. According to their results, multistage models show better performance and options can be considered as a core instrument for controlling investment portfolio's market risk.

Vial (2013) analyzed option-implied information in the context of portfolio optimization. Option-implied information is obtained from DJIA and S&P100 index, with sample period from January 1996 to January 2012. The paper focused on the derivation of the option-implied covariance and

the stability of forward-looking covariance was increased by Frobenius norm, also known as an, Euclidean norm. Nevertheless, option-implied portfolios performed better than portfolios based on historical information. However, the difference often is insignificant. The results for different estimation periods and strategies are robust assuming that forward-looking information is inherent in exchange-traded options.

Vilkov & Xiao (2013) computed extreme returns using option-implied information. From the observed option prices, they estimated forward-looking tail loss measure (TLM). TLM predicts the probability of market crashes and market returns. In addition to TLM, they also consider the option-implied predictors of asset returns such as model free implied variance, kurtosis and skewness, variance risk premium and implied correlation. They found that TLM is positively correlated to the future market returns, especially in the short run. The other variables, which importantly explain future market returns are implied correlation and variance risk premium. They also find that constructing portfolios using implied correlation gives better results than using historical information.

### **3. DATA AND METHODOLOGY**

In this part, we will define our data and explain different portfolio construction methods we used and the metrics in order to compare the benchmark portfolios with the portfolios using historical and option implied information.

#### **3.1 Data**

We utilized stock price data and option price data of 20 stocks, which have been trading in the Futures and Options Market of Borsa Istanbul since March of 2017. The data set includes daily data between March 2017 until July 2018. From 2013 to 2017 only 10 stock options were traded on Borsa Istanbul. From 2017 on that number increased gradually and became 20. Therefore, we decided to employ data starting from 2017, as it includes full information about the current stock options which we use in the study. The risk free (RF) rate is mean of the the daily interest rate of the benchmark government bond during the sample period.

We built different portfolios from these 20 stocks with 20% maximum weight restriction of assets in the portfolio. For the benchmark portfolio, we used BIST30 index data, as our sample consists of 20 stock options. Stock closing prices were obtained from Thomson Reuters Database. The stocks adjusted returns were computed from Yahoo Finance by using R program code. The discrete return of an individual investment or portfolio can be calculated as follows (Dobbins, Witt, Fielding, 1994):

$$R_t = \frac{P_t - P_{t-1} + D_t}{P_{t-1}}$$

Where,

R is a periodical return

$P_{t-1}$  is an initial price of the period

$P_t - P_{t-1}$  is a capital loss or gain

$D_t$  is a dividend in the end of the period

$P_t$  is the last price of the period.

Historical volatilities of returns were computed using 3 years “rolling window method” from the adjusted returns of stocks, using Yahoo data. Stock option data was obtained from Borsa Istanbul. Total number of the months of the data are 17 months from March 2017 to July 2018. We decided to work on monthly basis, thus, for calculations we chose the last trading dates of each month.

Data was filtered as follows: we choose the last trade date of each month, then we choose the expiry date, which is at least one month ahead (1 month or 2 months ahead) and we considered the option contract (when both the BIST30 Index Option and the stock option was traded on the same date), which had the closest strike price to the observed stock price on the expiry date of the option contract. The data includes 20 stock options and one index option. In total, we have 748 option price data. The list of the companies included in the study for portfolio construction purposes is as follows:

**Table 1** *List of sample companies*

AKBNK.E	Akbank T.A.Ş.
ARCLK.E	Arçelik A.Ş.
EKGYO.E	Emlak Konut Gayrimenkul Yatırım Ortaklığı A.Ş.
EREGL.E	Ereğli Demir ve Çelik Fabrikaları T.A.Ş.
GARAN.E	T. Garanti Bankası A.Ş.
HALKB.E	Türkiye Halk Bankası A.Ş.
ISCTR.E	T. İş Bankası A.Ş.
KCHOL.E	Koç Holding A. Ş.
KRDMD.E	Kardemir Karabük Demir Çelik Sanayi ve Ticaret A. Ş.
PETKM.E	Petkim Petrokimya Holding A.Ş.

PGSUS.E	Pegasus Hava Tasimaciligi A. Ş.
SAHOL.E	Hacı Ömer Sabancı Holding A.Ş
SISE.E	Türkiye Şişe ve Cam Fabrikaları A.Ş
TCELL.E	Turkcell İletişim Hizmetleri A.Ş
THYAO.E	Türk Hava Yolları A.O.,
TOASO.E	Tofas Turk Otomobil Fabrikasi A.Ş.
TTKOM.E	Türk Telekomünikasyon A.Ş.
TUPRS.E	Türkiye Petrol Rafinerileri A.Ş.
VAKBN.E	Türkiye Vakıflar Bankası T.A.O.
YKBNK.E	Yapi ve Kredi Bankasi A.Ş.

### 3.2 Portfolio Optimization

The portfolios were constrained to be long-only, which means that asset weights were  $\geq 0\%$ , fully invested, the sum of asset weights = 100%, and individual asset weights were allowed to be maximum 20%. Optimal portfolios were constructed with the “PortfolioAnalytics” Package of R Software. We calculated the optimal portfolio weights by generating thousands of portfolios and estimating their risk-return characteristics based on the covariance matrix. The weights were calculated using minimum-variance and mean-variance methodology as per modern portfolio theory. The only difference between them is how the future covariance matrix is estimated. The first method uses historical covariance to estimate future covariance which is used for construction of portfolios based on historical information. The second method estimates future covariance by using implied correlation and implied variance to create a covariance matrix, which is used for construction of portfolios based on implied information. Implied volatility is calculated using the Black-Scholes model (BSOPM). BSOPM calculates the theoretical value of a European option using the option’s strike price, expected interest rate, time of expiration, expected volatility, expected dividends and current stock price.

To construct portfolios based on implied information, we used implied volatility and implied correlations, which were obtained from option price data. “DerivMkts” package of R Software was used to estimate the implied volatility of the options. Options were chosen as the call price with the strike closest to the call and the expiration date was selected as the closest month where there was both an option for the underlying asset and the BIST30. The reason for this was that the BIST30 implied volatility was required to estimate the implied correlation and it was consistent to use options that had the same expiration.

After obtaining the optimal weights of portfolios, we made monthly rebalancing and we measured the performances of portfolios using annualized return, annualized standard deviation and annualized Sharpe ratio. We applied monthly rebalancing during portfolio optimization. Rebalancing is a process of buying and selling of our portfolio for setting the weights of each asset back to its original state according to an investor's tolerance of risk and investment strategy has changed, she or he can use rebalancing to readjust the weighting of each asset or security class in the portfolio in order to fulfill a newly devised asset allocation. For this purpose, we compared 5 portfolios: the benchmark portfolio (BIST30 index), minimum variance sample (historical), which was built using historical information, minimum variance implied portfolio, which was built using implied information, mean variance sample (historical) based on historical information, and mean variance implied based on implied information. We measured portfolio performance with the following measures: Annualized return, annualized portfolio volatility (standard deviation) and Sharpe ratio.

### 3.2.1 Minimum variance optimization

Minimum variance portfolio also known as minimum risk portfolio is a risk-based approach in portfolio construction. It is different from Markowitz portfolio selection in that instead of using both return and risk, minimum variance portfolio is constructed using only measure of risk. If an investor desires investing in the portfolio with the least risk, he/she does not think about the expected return, however the only thing that he/she wants is the lowest possible risk. The minimum variance portfolio is related with modern portfolio theory and efficient frontier. It is the only portfolio lying on the efficient frontier, with a minimum level of standard deviation. In this situation, the variance is also minimal. That is the reason why this portfolio is also called the minimum variance portfolio.

The minimum variance portfolio can be calculated by minimizing the variance to the necessary constraint. This is called as budget constraint, which is the amount of capital the investor has to invest. The reason why investors want to optimize the minimum variance portfolio is that it is very hard to estimate the future or expected return, but it is easy to measure the risk. The optimization problem of mean-variance portfolio can be written as:

$$\begin{aligned} \min_w \quad & w^T \hat{\Sigma} w - w^T \hat{\mu} \\ \text{s.t} \quad & w^T e = 1 \end{aligned}$$

The purpose of the first equation is to minimize the difference of portfolio return variance  $w^T \hat{\Sigma} w$  and its mean  $w^T \hat{\mu}$ . The second equation

assures that the portfolio weights resume to one. The minimum-variance portfolio problem solution is as follows:

$$w_{min} = \frac{\hat{\Sigma}^{-1}e}{e^T \hat{\Sigma}^{-1}e}$$

The covariance matrix  $\hat{\Sigma}$  can be decomposed into correlation and volatility matrices.

$$\hat{\Sigma} = \text{diag}(\hat{\sigma}) \hat{\Omega} \text{diag}(\hat{\sigma})$$

Where,  $\text{diag}(\hat{\sigma})$  is the diagonal matrix with stock volatilities on the diagonal, and diagonal and  $\hat{\Omega}$  is the matrix of correlation. For obtaining the optimal weights of portfolio on the covariance matrix sample, we need to estimate two quantities: correlations  $\hat{\Omega}$  and volatilities ( $\hat{\sigma}$ ).

### 2.2.2 Mean-variance optimization

Mean-variance model of portfolio selection was published in 1952 by Harry Markowitz. This model is one part of Modern Portfolio Theory (MPT) and still inspires empirical and theoretical research today. Markowitz suggests that portfolio selection process can be divided into two stages: the first stage starts with observations and beliefs about future performance of assets and in the second stage above mentioned beliefs are used for constructing the portfolio (H. Markowitz, 1952). The most important aim of the portfolio theory is optimally allocating investment budget among different assets. Mean-variance optimization (MVO) is the quantitative tool, which allows the investor to make allocation according to trade-off among risk and return. As we have already mentioned, Markowitz divides portfolio selection process into 2 stages, mean variance approach is about second stage, portfolio selection.

Every investor's aim is to maximize the capitalized or discounted return of future or expected return. Although the future is not known exactly, it is "anticipated" or "expected" return which Markowitz discounts. The hypothesis indicates that the investor puts all her or his funds in the asset with the highest discount value. If two or more assets have the same value, then any of these combinations of these is as good as any other. Let us assume there are N securities, and consider that  $r_{it}$  is an anticipated return, at time t per dollar invested in asset i,  $d_{it}$  be a rate at which the return on ith asset at time t will be discounted back to the present. If we assume that  $X_i$  is the relative amount invested in asset i. Markowitz excludes short sales,

so  $X_i \geq 0$  for all  $i$ . Then the discounted expected return of a portfolio is calculated with the following formula: (H. Markowitz, 1952).

$$R = \sum_{t=1}^{\infty} \sum_{i=1}^N d_{it} r_{it} X = \sum_{i=1}^N X_i (\sum_{t=1}^{\infty} d_{it} r_{it})$$

$R_i = \sum_{t=1}^{\infty} d_{it} r_{it}$  this is the discounted return of the  $i^{\text{th}}$  asset, thus

$$R = \sum X_i R_i$$

Where,

$R_i$  is independent of  $X_i$  since  $X_i \geq 0$  for all  $i$  and  $\sum X_i = 1$

$R$  is a weighted average of  $R_i$  with  $X_i$  as non-negative weights

In order to maximize  $R$ , Markowitz consider  $X_i = 1$  for  $i$  with maximum  $R_i$

$R = \sum X_i R_i$  defines the flow of returns from the portfolio as an entire.

If the investor's aim is to maximize the expected return, then he or she should place all the funds in the assets with the maximum expected return. Markowitz's model does not derive  $n$ -asset case, but his model represents for 3 or 4 asset cases. The portfolios return ( $R$ ) is a sum of the random variables, investor can choose the weights of assets. The expected return of the portfolio is calculated as follows:

$$E = \sum_{i=1}^N X_i \mu_i$$

The variance of portfolio is calculated as follows:

$$V = \sum_{i=1}^N \sum_{j=1}^N \sigma_{ij} X_i X_j$$

In the three securities case, Markowitz's model reduces to the following:

$$E = \sum_{i=1}^3 X_i \mu_i$$

$$V = \sum_{i=1}^3 \sum_{j=1}^3 X_i X_j \sigma_{ij}$$

$$\sum_{i=1}^3 X_i = 1$$

$$X_i \geq 0 \text{ for } i = 1, 2, 3.$$

### 3.2.3 Optimization with option implied information

We built a new estimator of covariance matrix using forward-looking information from a cross-section of option prices. The minimum variance

portfolio is based on the covariance metrics where historical information is replaced by option implied information. For this, we employed:

- Option-implied volatility
- Option-implied correlation

### ***3.2.3.1 Implied volatility (“Black-Scholes option pricing model”)***

Expectations regarding the volatility or any other moments of returns are usually estimated according to historical data. However, historical data may not be accurate for providing the best volatility forecast of expected risks, as it contains past information. In contrast, option trading data contains forward-looking information. Thus, implied volatility derived from option trading data may have significant information for expected risk, which historical data lacks (J. C. Francis, D. Kim, 2013). Implied volatility ignores historical information, alternatively, determines the option  $\sigma$  based on the actual prices of options. While historical volatility is a backward-looking estimator, implied volatility is a forward-looking estimator.

Implied volatility is not directly measurable therefore it is usually derived from the “Black-Scholes Option Pricing Model”, which was developed by three economists: Myron Scholes, Fischer Black and Robert Merton and is possibly the most well-known option pricing model in the world. The above, mentioned economists introduced this model in their paper in 1973, called “The Pricing of Options and Corporate Liabilities”. The economists were awarded Nobel Prizes in economics in 1997 for their work of a new method in determining the value of derivatives. The model makes certain assumptions (M. Scholes, F. Black and R. Merton, 1973)

- The option is European and will be expired only on expiration date
- There is no dividend during the lifetime of option;
- Markets are efficient (for example, market movements cannot be anticipated);
- There are no any transaction costs during buying the options
- The volatility and risk-free rate are known and constant
- The returns on the underlying are normally distributed

Black-Scholes formula is also appropriate for corporate bonds, corporate liabilities and warrants. Generally, the formula can also be used to obtain the discount which should be applied to the corporate bond for default possibility.

For call option,

$$C = SN(d_1) - N(d_2)Xe^{-rT}$$

and for put option,

$$P = Xe^{-rT}N(-d_2) - SN(-d_1)$$

Where,

C is price of the call option

P is price of the put option

S is current stock price

t is time until option exercise

K is option strike price

r is risk free interest rate

N is cumulative normal standard distribution

e is exponential term.

Calculation of implied volatility requires using the following above mentioned five other model inputs:

1. The underlying price of the stock
2. The market price of the option
3. The expiration time
4. The strike price of an option
5. The risk-free interest rate

When we know option prices, the first step is using this information to back out implied volatilities for predicting volatility (S. Benninga, 2005). By replacing the model price C in the above, mentioned equation with the market price of the call option, we can figure out this equation regarding the

volatility parameter  $\sigma$  by repeating method, as the rest of variables,  $S$ ,  $X$ ,  $r$ , and  $T$  can be detected uniquely. The value which is obtained by backed out of  $\sigma$  is called implied volatility. It is implied by the Black-Scholes option pricing formula and values of other parameters (S. Benninga, 2008).

Implied volatility has several advantages and disadvantages. Regarding advantages: first, it might be shifted forward-looking information of underlying asset. Second, since the underlying asset's trading price is available, implied volatility can be calculated. Hence, implied volatility can be calculated any time the market is operates.

Regarding disadvantages: first, the estimation of implied volatility depends on the choice of option pricing model, so if the option price is calculated incorrectly, then implied volatility will provide deceiving assessment of expected risk. If market is efficient and option pricing model is specified correctly, implied volatility obtained by options with the same expiration date and with the same underlying asset should be the same, even if strike price is different. However, according to empirical studies, implied volatility calculated by Black-Scholes option pricing model displays a suspicious pattern across strike price. Second, implied volatility computed from deep-out-of-the-money and deep-in-the-money options has, a tendency to be higher rather than calculated from at-the-money options on the same underlying asset. Third, if there is no closed-form solution for the option, computing of implied volatility would be difficult, though several model free methods can be suggested. Fourth, there are measurement problems in implied volatility. These problems generally come from nonsynchronous trading. To specify more, timing of option closing prices and underlying asset may be different. For example, for rarely traded options the last trade of the option might appear before to the last trade of the day. Transaction cost is another reason of measurement error and fifth one, if there is no actively traded option on the underlying asset, estimation of implied volatility is impossible (J. C. Francis, D. Kim, 2013).

According to preliminary studies, historical volatility provides better forecasting for future volatility rather than implied volatility. However, recent studies demonstrate that implied volatility is much more informationally efficient for forecasting future volatility rather than historical volatility. Yet, the comparison results can be sensitive to the options, option pricing model, sample period, market data.

In empirical finance, historical information was usually used to build the future expectations. Option prices contain valuable information about the future moments of asset prices (Black and Scholes, 1973). In order to

improve the quality of moment estimations, a number of researchers use forward-looking information instead of historical data. Strategies based on fully-implied estimators are a good choice as they significantly outperform the benchmark strategies in most cases and are never beaten by any other strategies (Kempf, & Korn, 2014).

For our research, we need to calculate historical and implied volatilities. For this purpose, researchers use different kind of models. For calculating historical volatility, we decided to use the rolling-window methodology with 3 years window length.

### 3.2.3.2 Implied Correlations

After predicting the volatility using options, we will consider another option-implied information, implied correlation, as for portfolio optimization we need correlations under the unbiased measure.

Implied correlations are not calculated directly from the options' price. (Buss & Vilkov, 2012) create their model for computing implied correlations. They list the technical conditions and empirical formal observations, which must be satisfied for the implied correlation matrix. Then, they defined a simple parametric equation for calculating implied correlations, which is constant with the following empirical and technical observations.

Especially, for determination of the implied correlations,  $\rho_{i,j,t}^Q$ , they only determine constraints which equates the observed implied variance of a market index  $(\sigma_{M,t}^Q)^2$  with the calculated implied variance of the portfolio for all market index elements  $i=1, \dots, N$ : (Buss & Vilkov, 2012)

$$(\sigma_{M,t}^Q)^2 = \sum_{i=1}^N \sum_{j=i}^N w_i w_j \sigma_{i,t}^Q \sigma_{j,t}^Q \rho_{ij,t}^Q \quad (1)$$

Where,

$\sigma_{i,t}^Q$  defines the implied volatility of  $i$  stock in the index, and

$w_i$  is the index weight.

Implied correlation should satisfy the following technical conditions: first, correlation matrix should be positive and second, all correlations  $\rho_{i,j,t}^Q$  should not exceed one. Furthermore, they aim their implied correlations to be constant with two following empirical observations: First, the implied correlation  $\rho_{i,j,t}^Q$  is higher rather than the correlation under the true measure  $\rho_{i,j,t}^P$ , and second the correlation risk premium is higher in

magnitude for stocks pairs. This provides larger diversification profits (for example, negatively or low correlated stocks), and hereafter are showing to a larger risk of losing diversification in bad times categorized by strong correlations. According to Mueller, Stathopoulos and Vedolin (2012) the second observation is supported by a negative correlation between the correlation risk premium and correlation under the objective measure.

Taking into consideration the above mentioned empirical and technical conditions (Buss & Vilkov, 2012) developed the following parametric form for calculation of implied correlation  $\rho_{i,j,t}^Q$ :

$$\rho_{i,j,t}^Q = \rho_{i,j,t}^P - \alpha_t(1 - \rho_{i,j,t}^P) \quad (2)$$

Where,

$\rho_{i,j,t}^P$  is expected correlation under the objective measure

$\alpha_t$  represents the parameter to be identified, it relates to the implied and realized correlations of the index and is constant in the interval (-1, 1). If  $\alpha$  is supposed to be negative the implied correlation is going to be higher rather than the realized correlation, and if  $\alpha$  is positive the opposite result will be obtained. (Eklund & Estaifo, 2018).

Replacing the implied correlations (1) into constraints (2),  $\alpha$  can be calculated as following.

$$\alpha_t = - \frac{(\sigma_{M,t}^Q)^2 - \sum_{i=1}^N \sum_{j=i}^N w_i w_j \sigma_{i,t}^Q \sigma_{j,t}^Q \rho_{ij,t}^Q}{\sum_{i=1}^N \sum_{j=i}^N w_i w_j \sigma_{i,t}^Q \sigma_{j,t}^Q (1 - \rho_{ij,t}^Q)} \quad (3)$$

After that, we should use equation (2) in order to distinguish the full implied correlation matrix  $\Gamma_t^Q$ , with  $\rho_{i,j,t}^Q$  element.

If  $-1 < \alpha_t \leq 0$ , then the model is satisfied for technical conditions mentioned above, and also constant with empirical observations (Buss & Vilkov, 2012).

### 3.3 Performance Measurement

Most investors assess their portfolios' performance based only on returns, just few of them consider risk. There are several kind of performance measurement tools, which are able to evaluate portfolio performance. Sharpe and Treynor ratios combine risk and return performance in a single value, though each of them is slightly different. These performance

measures are based on security market line and capital market line. (J. C. Francis, D. Kim). For the evaluation of portfolio performance, we used the following three criteria: annualized return annualized portfolio return, annualized portfolio volatility (standard deviation), portfolio Sharpe ratio.

### 3.3.1 Portfolio return

The actual return on a portfolio of securities over some specific period of time is the weighted average of the individual stocks in the portfolio, it can be computed using the following formula: (Fabozzi, F. J., 2011)

$$R_p = w_1R_1 + w_2R_2 + \dots w_G R_G$$

Where,

$R_p$  is rate of return of the portfolio over the period of time

$R_g$  is the rate of return of asset g over the period of time

$w_g$  is the weight of security g in the portfolio

G is the number securities in the portfolio

Shortly the above formula can be written as following:

$$R_p = \sum_{g=1}^G w_g R_g$$

### 3.3.2 Portfolio volatility

Volatility or standard deviation is the statistical measurement of annual rate of return of investment. Higher standard deviation indicates greater risk and more volatility. Correlation is the measure of degree to which assets move in relationship between each other in our case between stocks. In order to calculate the portfolio standard deviation we need to use correlation and co-variance Using correlation we can calculate portfolio standard deviation, with the following formula:

$$\sigma_p = \sqrt{w_1^2\sigma_1^2 + w_2^2\sigma_2^2 + 2w_1w_2\rho_{1,2}\sigma_1\sigma_2}$$

Where,

$\sigma_p$  is portfolio standard deviation

$w$  is asset weight

$\sigma$  is asset volatility

$\rho_{1,2}$  is correlation between assets 1 and 2

Co-variance measures the joint variability of two random variables and in finance co-variance matrix is often used for portfolio optimization and risk management processes. We can calculate portfolio standard deviation using covariance. We can collapse the above, mentioned portfolio standard deviation formula into a much simpler using a covariance matrix, with the following formula:

$$\sigma_{portfolio} = \sqrt{w_T \cdot \Sigma \cdot w}$$

Where,

$\Sigma_{portfolio}$  is portfolio volatility

$\Sigma$  is a co-variance matrix of returns

$w$  is portfolio weights ( $w_T$  is transposed portfolio weights)

$\cdot$  is the dot-multiplication operator

### 3.3.3 Sharpe ratio

Sharpe ratio was earlier developed by a Nobel laureate James Tobin is a linear risk-return modeling technique. Later it was extended by William Sharpe in 1966. Sharpe was awarded by Nobel Prize as well. In fact, Sharpe ratio is the average return earned in excess of the risk-free investment rate (such as U.S. government bond) per unit of total risk or volatility. The greater is the Sharpe ratio the more attractive is the return with respect to risk. Sharpe ratio can be computed using the formula below:

$$S_p = \frac{\text{Excess return (or risk premium)}}{\text{Total risk}} = \frac{\overline{r_p} - r_f}{\sigma_p}$$

Where,

$\overline{R_p}$  is average return on portfolio,

$r_f$  is average return of risk-free interest rate

and  $\sigma_p$  is standard deviation of portfolio

The average holding period return (HPR) above the risk-free interest rate is known as the risk premium or excess return. It measures the additional return, that is earned by investing in risky assets. Portfolio's risk premium is divided by the standard deviation of returns,  $\sigma$ , which is the measure of portfolio's total risk. (Francis & Kim, 2013)

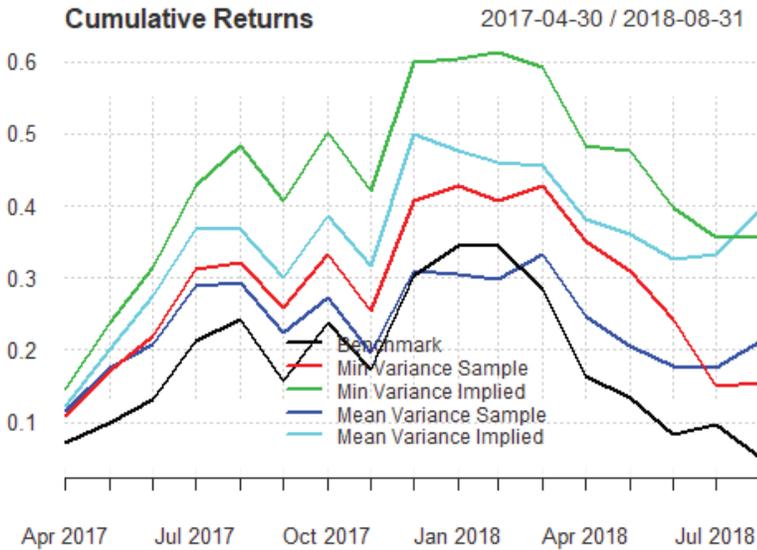
Using Sharpe's ratio, the managers can check if a portfolio's excess mean return is sufficient in order to compensate for higher risk taken by investing in risky asset portfolio rather than the market portfolio. Using Sharpe ratio, we can rank and compare performance of investment portfolios with different risk classes, which have different average return and risk.

### **3 FINDINGS**

The chart below shows the cumulative returns of 5 different portfolios:

- Benchmark,
- Minimum Variance Sample (historical),
- Minimum Variance Implied,
- Mean Variance Sample (historical),
- Mean Variance Implied.

We can see that Minimum Variance Implied and Mean Variance Implied portfolios provide the highest level of return, especially Minimum Variance Implied, which has the highest return among the five portfolios during the whole sample period, except for the last month.



**Figure 1.** Cumulative return of 5 different portfolios (benchmark, minimum variance sample (historical), minimum variance implied, mean variance sample (historical) and mean variance implied)

On the table below, we see the relative annualized performance of optimal portfolios constructed by different methods. We can see that the Mean Variance Implied portfolio has the highest annualized return and highest annualized Sharpe ratio.

**Table 2.** Performance of portfolios (benchmark, minimum variance sample (historical), minimum variance implied, mean variance sample (historical) and mean variance implied)

	Benchmark	Minimum Variance Sample (historical)	Minimum Variance Implied	Mean Variance Sample (historical)	Mean Variance Implied
Annualized Return	0.0347	0.1068	0.2411	0.1452	0.2657
Annualized Std. Dev.	0.1994	0.2082	0.2272	0.1807	0.2051
Annualized Sharpe Rat. (Risk free rate= 12.64%)	-0.4444	-0.1175	0.4192	0.0545	0.5717

The table below shows the descriptive statistics of monthly returns optimal portfolios constructed by different methods. The Mean Variance portfolio has the highest mean return.

**Table 3** *Descriptive Statistics of Monthly Portfolio Returns*

	Benchmark	Minimum Variance Sample (Historical)	Minimum Variance Implied	Mean Variance Sample (Historical)	Mean Variance Implied
Mean	0,0044	0,0102	0,0201	0,0126	0,0214
Std. Dev.	0,0576	0,0601	0,0656	0,0522	0,0592
Curtosis	-0,8497	-0,8302	-0,8292	-0,4345	-0,6579
Skewness	0,0891	0,3909	0,4580	0,3006	0,5804
Maximum	-0,0942	-0,0747	-0,0681	-0,0643	-0,0507
Minimum	0,1109	0,1234	0,1451	0,1159	0,1387
Observations	17,0	17,0	17,0	17,0	17,0

The table below shows comparison of two portfolios: Implied mean variance and sample (historical) mean variance. The t-test results imply that the mean monthly returns of these two portfolios are different (statistically significant at 5% level) and our H<sub>0</sub> hypothesis can be rejected, which means that the portfolio based on implied information performs better rather than the portfolio based on historical information.

**Table 4.** *t-test Results of Portfolio Returns (Mean Variance Implied versus Mean Variance Historical)*

t-Test: Paired Two Sample for Means	Mean Variance Implied	Mean Variance Sample (Historical)
Observations	17	17
Pearson Correlation	0.96	
Hypothesized Mean Difference	0	
Degrees of freedom.	16	
t Stat	-2.09	
P(T<=t) one-tail	0.03	
t Critical one-tail	1.75	
P(T<=t) two-tail	0.05	
t Critical two-tail	2.12	

## 4 CONCLUSION

The purpose of this study was to construct different portfolios using different methods (based on historical and implied information), compare their performances and most importantly show that portfolios which are based on implied information outperform the portfolios which were constructed based on the historical information. For this purpose, we compared 5 portfolios: the benchmark portfolio (BIST30 index), minimum variance sample (historical), which was built using historical

information, minimum variance implied portfolio, which was built using implied information, mean variance sample (historical) based on historical information, and mean variance implied based on implied information.

According to our results, the mean variance implied portfolio shows the best performance among other portfolios with respect to annualized return and Sharpe ratio. Most importantly the mean variance portfolio based on implied information outperforms the mean variance sample (historical) portfolio. Our study is limited with the sample period and the assumptions of the models employed in the methodology.

Our study can be extended with a longer sample size and historical volatilities can be computed with shorter rolling window methods. Our recommendation to future researchers is to model the relations between implied volatility and stock returns and use implied volatility to forecast future stock returns. The findings may enable local and foreign investors, future investors, researchers and policy makers to utilize forward –looking information implied in option prices in order to improve the out-of-sample performance of their portfolios.

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# EFFICIENCY ANALYSIS OF WORLD COUNTRIES ACCORDING TO HUMAN DEVELOPMENT DIMENSIONS

Semra ERPOLAT TAŞABAT<sup>1</sup>



## CHAPTER 20

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# EFFICIENCY ANALYSIS OF WORLD COUNTRIES ACCORDING TO HUMAN DEVELOPMENT DIMENSIONS

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## 1. INTRODUCTION

It is a very difficult process to handle the large number of outputs and multiple outputs at the same time and evaluate their production. DEA, which was developed by Charnes, Cooper and Rhodes in 1978 and aimed to measure the relative efficiency of institutions, has been an important tool in eliminating this difficulty. The fundamental assumption in DEA is that all Decision Making Units (DMUs) discussed have similar strategic objectives and produce the same type of output using the same type of input.

Efficiency analysis, which was previously of great importance only for organizations operating in the private sector, is now one of the popular analyzes used in all sectors and all areas. Improving service quality; increasing resource utilization capacity; efficiency, efficiency and frugality in resource use can be evaluated with the help of efficiency analysis.

In this study, the efficiency of world countries will be evaluated with DEA scores calculated according to human development dimensions and the findings will be compared with HDI scores and levels. It will be investigated which efficiency countries can be role models for inefficiency countries. For this purpose, firstly information about DEA will be given in the following sections of the study. Then it will be explained how and what the HDI is calculated. The input-oriented CCR DEA model, which will be used to examine the efficiency of the world countries, will be elaborated and it will be analyzed for the specified input and outputs. The study will be concluded with the evaluation of the results obtained.

## 2. DATA ENVELOPMENT ANALYSIS

The DEA was developed in 1978 by Charnes, Cooper and Rhodes, taking advantage of Farrell's concept of efficiency in 1957. The DEA compares DMUs that are supposed to be homogeneous. Examining efficacy with DEA requires the following steps (Taşabat, 2011).

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- Selection of DMUs
- Selection of inputs and outputs
- Obtaining data
- Measurement of relative efficiency
- Determination of efficient and inefficient DMUs
- Determination of reference groups for inefficient DMUs
- Setting targets for efficient DMUs
- Evaluation of results.

It is possible to classify the models used in DEA according to the enveloping method (return assumption) and the distances (orientation) of the inefficient units to the efficient production limit (Taşabat, 2011).

According to the return assumption, the models are divided into Constant Return to Scale (CRS) and Variable Return to Scale (VRS). The CRS was developed by Charnes, Cooper and Rhodes in 1978 and is based on the assumption that if the input used is increased  $k$ -fold, the output will increase  $k$ -fold. VRS was developed by Banker, Charnes and Cooper in 1984 and is based on the assumption that if the inputs used are increased  $k$ -fold, the outputs will increase at a different rate than  $k$ . These models are also referred to as the CCR and BCC models, respectively, with the initials of the developers.

According to the orientation, the models are divided into two as input and output. The input-oriented approach explores how much the input composition needs to be reduced without changing the output level for efficiency. In other words, the current output is tried to be reached with minimum input. The output-oriented approach explores how much the output composition needs to be increased without changing the input level for efficiency. In other words, maximum output is tried to be obtained with the current input. In the case of CRS for unweight DEA, these two approaches give the same result.

Like all DP models, DEA models can be expressed in two different ways as primal and dual. In DEA, the dual model is more widely used, as it requires less mathematical operations to achieve the best solution than the primal model, and provides important managerial information, such as guiding what should be done to make the inefficient units efficient (Taşabat, 2011). In DEA, the dual model is called the enveloping model

and the primal model is called the multiplier model. All the mentioned models are given in Table 1 (Taşabat, 2011).

Table 1. DEA Models.

	Input Oriented		Output Oriented	
	Primal	Dual	Primal	Dual
<b>CRS</b>	$\begin{aligned} &Max \sum_{r=1}^s u_r Y_{rk} \\ &\sum_{i=1}^m v_i X_{ik} = 1 \\ &\sum_{r=1}^s u_r Y_{rj} - \sum_{i=1}^m v_i X_{ij} \leq 0 \\ &u_r \geq 0; \quad v_i \geq 0 \end{aligned}$	$\begin{aligned} &Min \theta_k \\ &\sum_{j=1}^n \lambda_{jk} X_{ij} \leq \theta_k X_{ik} \\ &\sum_{j=1}^n \lambda_{jk} Y_{rj} \geq Y_{rk} \\ &\lambda_{jk} \geq 0 \end{aligned}$	$\begin{aligned} &Min \sum_{i=1}^m v_i X_{ik} \\ &\sum_{r=1}^s u_r Y_{rk} = 1 \\ &\sum_{i=1}^m v_i X_{ij} - \sum_{r=1}^s u_r Y_{rj} \geq 0 \\ &u_r \geq 0; \quad v_i \geq 0 \end{aligned}$	$\begin{aligned} &Max \varphi_k \\ &\sum_{j=1}^n \eta_{jk} X_{ij} \leq X_{ik} \\ &\varphi_k Y_{rk} - \sum_{j=1}^n \eta_{jk} Y_{rj} \leq 0 \\ &\eta_{jk} \geq 0 \end{aligned}$
<b>VRS</b>	$\begin{aligned} &Min \theta_k \\ &\theta_k X_{ik} - \sum_{j=1}^n \lambda_{jk} X_{ij} \geq 0 \\ &\sum_{j=1}^n \lambda_{jk} Y_{rj} \geq Y_{rk} \\ &\sum_{j=1}^n \lambda_{jk} = 1 \\ &\lambda_{jk} \geq 0 \end{aligned}$	$\begin{aligned} &Max \sum_{r=1}^s u_r Y_{rk} - u_k \\ &\sum_{i=1}^m v_i X_{ik} = 1 \\ &\sum_{r=1}^s u_r Y_{rj} - \sum_{i=1}^m v_i X_{ij} - u_k \leq 0 \\ &u_r, v_i \geq \varepsilon > 0, \quad u_k \text{ inf inite} \end{aligned}$	$\begin{aligned} &Max \varphi_k \\ &\sum_{j=1}^n \eta_{jk} X_{ij} \leq X_{ik} \\ &\varphi_k Y_{rk} - \sum_{j=1}^n \eta_{jk} Y_{rj} \leq 0 \\ &\sum_{j=1}^n \eta_{jk} = 1 \\ &\eta_{jk} \geq 0 \end{aligned}$	$\begin{aligned} &Min \sum_{i=1}^m v_i X_{ik} - v_k \\ &\sum_{r=1}^s u_r Y_{rk} = 1 \\ &\sum_{i=1}^m v_i X_{ij} - \sum_{r=1}^s u_r Y_{rj} - v_k \geq 0 \\ &u_r, v_i \geq \varepsilon > 0, \quad v_k \text{ inf inite} \end{aligned}$

DEA sets achievable targets so that inefficient DMUs can improve their performance. These targets are, in general, the weighted average of the efficient units in the reference set of inefficient DMUs. This process is also named as *role model selection*.

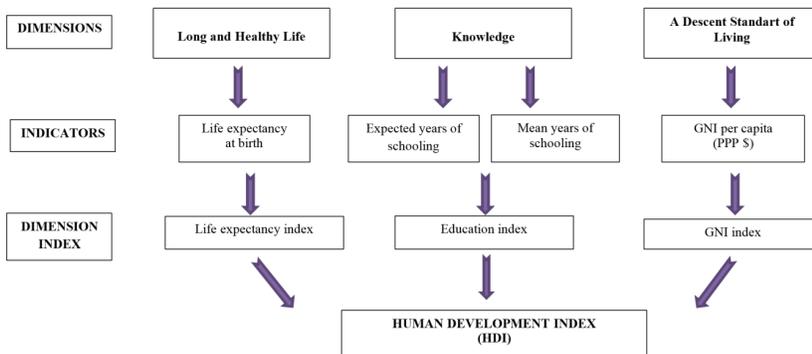
### 3. Human Development Index

Human development, or the human development approach, is about expanding the richness of human life, rather than simply the richness of the economy in which human beings live (HDR, 2019). Developed by an economist Mahbub ul Haq, this approach emphasizes that monetary indicators such as Gross National Income (GNI) per capita alone are not enough to measure the level of development of countries. The opportunities and choices of people have a decisive role in the measurement. These are to live long and healthy, to be educated and to have access to resources for a decent standard of living (UNDP, 1990).

The human development approach was transformed into an index with a project supported by UNDP in 1989 and named HDI. In this way, it is aimed to measure the development levels of the world states better. After introducing the HDI, the UNDP published a report in 1990, in which the index was computed for each country as a measure of the nation’s human

development. Since then UNDP has continued publishing a series of annual Human Development Reports (HDRs) (Taşabat, 2019).

The first Human Development Report (HDR) introduced the HDI as a measure of achievement in the basic dimensions of human development across countries. This somewhat crude measure of human development remains a simple unweighted average of a nation's longevity, education and income and is widely accepted in development discourse (Taşabat, 2019). Before 2010 these indicators are used to measure HDI. Over the years, some modifications and refinements have been made to the index. In HDI 20th anniversary edition in 2010, the indicators calculating the index were changed. Figure 2 shows the dimensions and indicators of the HDI index (HDR, 2018).



**Figure 1.** *The dimensions and indicators of HDI.*

As can be seen from Figure 1, HDI is a composite index of three dimensions which are a decent standard of living, knowledge and long and healthy life. A decent standard of living dimension which contained GNI per capita, create “GNI Index (GNII)”. Likewise, life expectancy at birth at the long and healthy life generate “Life Expectancy Index (LEI)”. And finally both mean years of schooling and expected years of schooling which is in dimension knowledge create “Education Index (EDI)”. The current indicators in each dimension, and the minimum and maximum values that are used to normalise them in the HDI is explained below.

**Long and healthy life:** The long and healthy life dimension uses life expectancy at birth as its indicator, defined as “the number of years a newborn infant could expect to live if prevailing patterns of age-specific mortality rates at the time of birth were to stay the same throughout the child’s life” (UNDP, 2010). The life expectancy index is calculated using a minimum value of 20 years and a maximum value of 85 years. These maximum and minimum values are fixed goalposts adopted in the 2014 HDR.

**Knowledge:** The education dimension of the HDI is measured by two indicators: mean years of schooling for adults aged 25 years and older, 9 and the expected years of schooling for children of schoolentering age. The two indicators are first normalized using a minimum value of 0 and maximum value of 15 for mean years of schooling and 18 for expected years of schooling. As societies can exist without formal education, the minimum value of 0 years is used for both education variables. The maximum values were set to aspirational fixed goalposts in the 2014 HDR. Both indicators are then combined to produce an education index, which is the arithmetic mean of the two (equally-weighted) sub-indices of education.

**Decent standard of living:** The decent standard of living component is measured using an income based measure. Income is, of course, not an outcome measure reflecting a person's capability or human development directly. The income component is measured using the natural logarithm of GNI per capita adjusted by PPP. For this component, the minimum value is PPP \$100. The maximum value is set at PPP \$75,000. The HDI takes the natural logarithm of income to reflect the diminishing importance of income among richer countries.

In order to calculate the HDI first these three core dimensions are put on a common (0, 1) scale. For this purpose the Equation (1) is used.

$$x'_{ij} = \frac{x_{ij} - \min(x_{ij})}{\max(x_{ij}) - \min(x_{ij})} \quad (1)$$

After that, the geometric mean of the dimensions is calculated to produce the HDI (UNDP, 2011). This formula is given in Equation (2).

$$HDI = \sqrt[3]{LEI \cdot EDI \cdot GNI} \quad (2)$$

And ultimately, the order of the countries of the world from the most developed to the least, with the help of this formula the calculated HDI values can be obtained by ordering from big to small.

According to HDI value, grouping levels of countries (HDI Level) that were introduced in the 2014 HDR is shown in Table 2.

**Table 2.** *Grouping levels of countries*

Groups	HDI Level	HDI Values
Very high human development	1	0.800 and above
High human development	2	0.700–0.799
Medium human development	3	0.550–0.699
Low human development	4	Below 0.550

HDI scores, which aim to make inferences in order to measure the development of countries, are criticized by the researchers. The most important of these are:

- The way its component indices are derived by the raw data (Noorbakhsh, 1998) and the additivity of the aggregation method (Sagar and Najam, 1998)
- HDI contains insufficient dimensions (education, health and income) and indicators (GNI per capita, life expectancy at birth at the long, healthy life, mean years of schooling, expected years of schooling) (Bhanojirao, 1991; Sen ve Sudhir, 1994; Neumayer, 2001; Morse, 2003; Ranis, Stewart ve Samman, 2005; Dias, Mattos ve Balestieri, 2006; Sanusi, 2008);
- Calculation method (geometric mean) is insufficient (Neumayer, 2001)
- Equal weight is given to the dimensions in the calculation method (Kelley, 1991; Srinivasan, 1994; Ravallion, 1997; Desai, 1991; Despotis (2005)).

#### **4. Efficiency analysis of Countries**

In terms of economic logic, economic instruments that determine the macroeconomic policy outcomes of countries can be considered as inputs, since they can be regarded as common instruments that the entire economic bureaucracy can have. It is therefore possible that the inputs for all DMUs are the same and can be taken as “1”.

Models with no inputs and only outputs are widely used in performance evaluations (Liu vd., 2011: 472; Hoarau ve Blancard, 2013: 627). Lovell ve Pastor (1999), Lovell vd. (1995), Mahlberg ve Obersteiner (2001), Liu

vd. (2011); Despotis (2005) were examined DEA models without input or output.

In the Mahlberg ve Obersteiner (2001)'s model, all the individual indicators are considered as outputs and a dummy input (equal to one) is assumed for all the countries. To constrain the flexibility of the model in selecting the weights, they introduce arbitrary bounds on the weight ratios. Then they invert the DEA scores to make them comparable to the HDI.

#### 4.1. Preparing Data For Analysis

In the study, EDI, LEI and GNII, which are the dimensions of HDI, were used in the HDR data prepared for 2019. First of all, the data was arranged in such a way that there was no blank data for these variables. According to this, there are 189 data for EDI, 192 for LEI and 191 for GNII of 193 world countries in 2019 HDR. Countries with null values for any of the EDI, LEI and GNII were Korea (Democratic People's Rep.), Nauru, Somalia and Tuvalu, and were excluded from the analysis. Thus, the number of DMUs was determined as 189. The data set with the structure shown in Table 3 was obtained. The table also includes the development groups (HDI Level) determined according to the HDI value. To avoid excessive space, the first and last five DMUs are shown in the table.

**Table 3.** *Structure of the original data set.*

No	Country Code	Country Name	HDI Rank	HDI	HDI Level	EDI	LEI	GNII
1	AFG	Afghanistan	168	0.498	4	0.415	0.678	1824
2	ALB	Albania	68	0.785	2	0.745	0.9	11886
3	DZA	Algeria	85	0.754	2	0.664	0.866	13802
4	AND	Andorra	35	0.858	1	0.714	0.949	47574
5	AGO	Angola	147	0.581	3	0.498	0.643	5790
.	.	.	.	.	.	.	.	.
.	.	.	.	.	.	.	.	.
.	.	.	.	.	.	.	.	.
185	VEN	Venezuela (Bolivarian Republic of)	78	0.761	2	0.741	0.842	10672
186	VNM	Viet Nam	116	0.694	3	0.626	0.869	5859
187	YEM	Yemen	178	0.452	4	0.349	0.695	1239
188	ZMB	Zambia	144	0.588	3	0.58	0.65	3557
189	ZWE	Zimbabwe	156	0.535	4	0.558	0.642	1683

## 4.2. Input-Oriented CCR DEA: Non-Common Weights Model

This method developed by Mahlberg and Obersteiner (2001) suggests a solution to the absence of any input in the data set. In the method, a dummy input variable with all values (up to the number of DMUs) of 1 is created and an input-oriented CCR DEA model is applied. The adaptation of the model to HDI data is as in (3).

$$\begin{aligned} \text{Max } h_{j_0} &= w_{LEI}LEI_{j_0} + w_{EDI}EDI_{j_0} + w_{GNII}GNII_{j_0} \\ w_{LEI}LEI_j + w_{EDI}EDI_j + w_{GNII}GNII_j &\leq 1 \quad , \quad j \in C \\ w_{LEI}, w_{EDI}, w_{GNII} &\geq \varepsilon \end{aligned} \quad (3)$$

This model is equivalent to an input oriented CRS DEA model with three outputs (LEI, EDI and GNII) and one dummy input of “1” for all the countries (DMUs). In this model:  $C$  is the the set of the countries (in this study 189);  $j \in C$  stand for any country in  $C$  and  $j_0$  stand for the evaluated country;  $w_{LEI}$ ,  $w_{EDI}$  and  $w_{GNII}$  are unknown weights of the three dimensions LEI, EDI and GNII, respectively.

The linear model estimates the weights  $w_{LEI}$ ,  $w_{EDI}$  and  $w_{GNII}$  that maximize the weighted sum of the three components of the HDI, for the evaluated country  $j_0$ , and it is solved for one country at a time. The weighted sum of the component indices is constrained to be less or equal to one for all the countries. The infinitesimal  $\varepsilon$  is introduced to assure that none of the weights will take a zero value (Despotis, 2005).

Let  $h_j^0$  be the optimal value of the objective function when the model (1) is solved for country  $j$ . The values  $h_j^0$  ( $j \in C$ ) are bounded in the interval  $[0,1]$ . If  $h_j^0 = 1$  then the country  $j$  is “efficient” and if the score is  $h_j^0 < 1$  then the country  $j$  is “inefficient”. However, “efficiency” has no special meaning in this case, as no kind of transformation of inputs to outputs is assumed (Despotis, 2005).

Since the scores obtained as a result of this method are calculated by using each country’s own weights instead of the common weights of the variables, using these scores is appropriate to determine whether countries are efficient or not but not appropriate to rank countries as in HDI. Because the dimensions (variables) considered in HDI scores have equal weight and these weights are assumed to be the same for each country (DMU). For this reason this model is named as *Non-Common Weights Model*.

The findings obtained as a result of the operation of this model in EMS program are given below. HDI levels of the countries were taken into consideration in the evaluation of the results. HDI Rank and DEA Rank values in the tables are the rankings obtained by considering all countries. In the following sub-sections, the results of all countries will be evaluated according to their development levels (HDI Level).

#### 4.2.1. Evaluation for Very High Human Development Countries

The edited version of the results for the very high human development level is given in Table 4. There are a total of 59 countries at this level.

In all of the following tables: The weights column shows weights of inputs and outputs. The benchmarks column shows, for efficient DMUs: how many inefficient DMUs are used this efficient DMU in their role model, and for inefficient DMUs: the role models of them. The slack values column represent the amount of increase or decrease in the input or output of inefficient DMUs in order to become efficient.

**Table 4.** Results for Very High Human Development Level

No	DMU	HDI Rank	DEA Rank	DEA Score (%)	Weights				Benchmarks	Slack Values			
					Input		Outputs			Input		Outputs	
					Dummy	EDI	LEI	GNII		Dummy	EDI	LEI	GNII
4	AND	35	22	96.25	1.00	0.00	1.00	0.00	75 (0.96)	0.00	0.11	0.00	8653.77
7	ARG	47	48	89.63	1.00	0.17	0.83	0.00	9 (0.38) 164 (0.52)	0.00	0.00	0.00	27883.99
9	AUS	3	1	100.00	1.00	0.48	0.52	0.00	31				
10	AUT	20	20	96.87	1.00	0.16	0.84	0.00	75 (0.40) 164 (0.57)	0.00	0.00	0.00	10723.62
101	LTU	35	29	93.51	1.00	1.00	0.00	0.00	65 (0.94)	0.00	0.00	0.04	14828.07
13	BHR	43	52	89.05	1.00	0.00	1.00	0.00	75 (0.89)	0.00	0.00	0.00	10441.05
15	BRB	58	60	87.97	1.00	0.16	0.84	0.00	9 (0.00) 75 (0.29) 164 (0.59)	0.00	0.00	0.00	35073.76
16	BLR	53	51	89.15	1.00	1.00	0.00	0.00	65 (0.89)	0.00	0.00	0.02	24806.75
17	BEL	17	19	97.03	1.00	0.17	0.83	0.00	9 (0.71) 164 (0.26)	0.00	0.00	0.00	3793.98
25	BRN	39	37	91.05	1.00	0.00	0.84	0.16	139 (0.04) 153 (0.87)	0.00	0.05	0.00	0.00
26	BGR	51	71	86.95	1.00	0.17	0.83	0.00	9 (0.78) 164 (0.09)	0.00	0.00	0.00	20343.04
182	URY	55	43	89.96	1.00	0.00	1.00	0.00	75 (0.90)	0.00	0.04	0.00	32624.24
32	CAN	12	7	98.76	1.00	0.17	0.83	0.00	9 (0.41) 164 (0.58)	0.00	0.00	0.00	7702.35
35	CHL	44	31	93.26	1.00	0.16	0.84	0.00	9 (0.00) 75 (0.87) 164 (0.06)	0.00	0.00	0.00	32523.82

43	HRV	46	40	90.53	1.00	0.16	0.84	0.00	75 (0.50) 164 (0.40)	0.00	0.00	0.00	30405.09
45	CYP	32	27	94.62	1.00	0.00	1.00	0.00	75 (0.95)	0.00	0.00	0.00	23711.78
46	CZE	27	25	95.35	1.00	0.72	0.28	0.00	9 (0.30) 65 (0.65)	0.00	0.00	0.00	12628.00
47	DNK	11	10	98.54	1.00	0.67	0.30	0.03	9 (0.25) 65 (0.60) 127 (0.14)	0.00	0.00	0.00	0.00
56	EST	30	33	92.98	1.00	0.72	0.28	0.00	9 (0.45) 65 (0.48)	0.00	0.00	0.00	12738.43
60	FIN	15	16	97.51	1.00	0.17	0.83	0.00	9 (0.95) 164 (0.03)	0.00	0.00	0.00	1840.63
61	FRA	24	14	97.93	1.00	0.16	0.84	0.00	9 (0.00) 75 (0.91) 164 (0.06)	0.00	0.00	0.00	17904.46
65	DEU	5	1	100.00	1.00	0.97	0.00	0.03	19				
12	BHS	54	67	87.12	1.00	0.00	1.00	0.00	75 (0.87)	0.00	0.02	0.00	24214.31
67	GRC	31	23	96.18	1.00	0.16	0.84	0.00	75 (0.59) 164 (0.37)	0.00	0.00	0.00	31245.14
75	HKG	7	1	100.00	1.00	0.03	0.96	0.01	145				
76	HUN	45	54	88.75	1.00	0.17	0.83	0.00	9 (0.59) 164 (0.30)	0.00	0.00	0.00	17455.65
77	ISL	6	3	99.51	1.00	0.17	0.83	0.00	9 (0.61) 164 (0.39)	0.00	0.00	0.00	3019.36
82	IRL	4	4	99.07	1.00	0.66	0.31	0.03	9 (0.29) 65 (0.30) 127 (0.40)	0.00	0.00	0.00	0.00
83	ISR	22	11	98.47	1.00	0.16	0.84	0.00	75 (0.22) 164 (0.76)	0.00	0.00	0.00	24205.39
84	ITA	28	9	98.58	1.00	0.00	1.00	0.00	75 (0.99)	0.00	0.05	0.00	22291.51
86	JPN	19	2	99.70	1.00	0.00	1.00	0.00	75 (1.00)	0.00	0.00	0.00	19256.25
88	KAZ	58	78	86.60	1.00	1.00	0.00	0.00	65 (0.87)	0.00	0.00	0.04	17325.81
91	KOR	22	15	97.82	1.00	0.16	0.84	0.00	75 (0.37) 164 (0.61)	0.00	0.00	0.00	20715.42
92	KWT	56	79	86.59	1.00	0.00	0.96	0.04	75 (0.04) 153 (0.83)	0.00	0.10	0.00	0.00
95	LVA	41	35	92.13	1.00	1.00	0.00	0.00	65 (0.92)	0.00	0.00	0.02	17502.02
100	LIE	17	1	100.00	1.00	0.66	0.00	0.34	0				
102	LUX	21	18	97.11	1.00	0.00	0.96	0.04	75 (0.63) 153 (0.34)	0.00	0.03	0.00	0.00
105	MYS	57	80	86.51	1.00	0.00	1.00	0.00	75 (0.87)	0.00	0.02	0.00	24432.82
108	MLT	29	26	95.30	1.00	0.16	0.84	0.00	75 (0.88) 164 (0.08)	0.00	0.00	0.00	21218.63
116	MNE	50	46	89.83	1.00	0.16	0.84	0.00	75 (0.38) 164 (0.52)	0.00	0.00	0.00	35282.86
122	NLD	10	12	98.33	1.00	0.34	0.64	0.02	9 (0.70) 127 (0.10) 164 (0.19)	0.00	0.00	0.00	0.00
123	NZL	16	8	98.61	1.00	0.72	0.28	0.00	9 (0.90) 65 (0.09)	0.00	0.00	0.00	9203.93
127	NOR	1	1	100.00	1.00	0.61	0.29	0.10	5				
128	OMN	48	50	89.35	1.00	0.00	1.00	0.00	75 (0.89)	0.00	0.06	0.00	15908.80
137	POL	33	34	92.77	1.00	0.72	0.28	0.00	9 (0.55) 65 (0.38)	0.00	0.00	0.00	15230.48
138	PRT	41	24	95.84	1.00	0.00	1.00	0.00	75 (0.96)	0.00	0.06	0.00	28675.76
139	QAT	37	1	100.00	1.00	0.00	0.00	1.00	1				

140	ROU	52	69	87.09	1.00	0.16	0.84	0.00	75 (0.46) 164 (0.41)	0.00	0.00	0.00	27904.07
141	RUS	49	55	88.51	1.00	1.00	0.00	0.00	65 (0.89)	0.00	0.00	0.04	16602.27
148	SAU	39	76	86.69	1.00	0.33	0.64	0.03	9 (0.17) 127 (0.21) 164 (0.48)	0.00	0.00	0.00	0.00
153	SGP	9	1	100.00	1.00	0.00	0.89	0.11	4				
154	SVK	38	42	90.25	1.00	0.17	0.83	0.00	9 (0.67) 164 (0.23)	0.00	0.00	0.00	13089.57
155	SVN	25	21	96.64	1.00	0.17	0.83	0.00	9 (0.60) 164 (0.37)	0.00	0.00	0.00	16687.41
159	ESP	26	6	98.78	1.00	0.00	1.00	0.00	75 (0.99)	0.00	0.02	0.00	23451.01
163	SWE	7	5	98.94	1.00	0.17	0.83	0.00	9 (0.52) 164 (0.47)	0.00	0.00	0.00	1978.81
164	CHE	2	1	100.00	1.00	0.23	0.74	0.03	47				
179	ARE	34	41	90.38	1.00	0.00	0.96	0.04	75 (0.28) 153 (0.62)	0.00	0.02	0.00	0.00
180	GBR	14	13	98.23	1.00	0.72	0.28	0.00	9 (0.85) 65 (0.13)	0.00	0.00	0.00	4012.30
181	USA	13	17	97.29	1.00	0.93	0.00	0.07	65 (0.51) 127 (0.46)	0.00	0.00	0.01	0.00

In Table 4 the efficient countries are indicated as gray lines. There are 8 efficient country in total: AUS (31), DEU (19), HKG (145), LIE (0), NOR (5), QAT (1), SGP (4) and CHE (147). The numbers in brackets next to the countries are also the values in the benchmarks column. For efficient DMUs the number in the benchmarks column shows how many inefficient DMUs use this efficient country to create their role models. For example, the AUS unit was used by a total of 31 inefficient countries to create their role models.

For inefficient countries, the benchmarks column refers to role models. For example, the benchmarks column for ARG in the second row of Table 4 was found as “9 (0.38) 164 (0.52)”. This means that in order for inefficient ARG to be efficient, AUS must be sampled by 0.38 percent (No = 9) and CHE by 0.52 percent (No = 164). It should be noted that AUS and CHE are efficient DMUs. In this calculation the weights are EDI = 0.17, LEI = 0.83 and GNII = 0 and the slack values are EDI = 0, LEI = 0 and GNII = 27883.99, respectively.

The number of inefficient countries for this level is 51. The lowest efficiency value belongs to MYS with 86.51% (No = 105). The role model of MYS includes only HKG (No = 75). It is seen that MYS can become efficient DMU if 0.87 percent follow HKG. To do this, the weight value of the LEI dimension should be set to “1” and the other dimensions, EDI and GNII, should be set to “0”.

Furthermore, it can be seen from the table that countries that are not efficient as a result of DEA analysis may be highly developed according to

HDI. Figure 2 shows the comparison of HDI Rank and DEA Rank values of the countries.

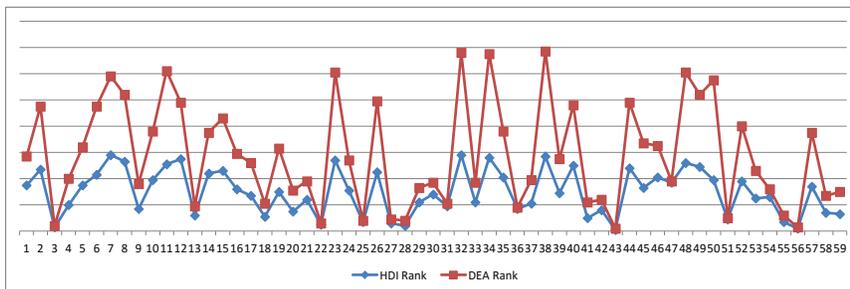


Figure 2. Comparison of HDI Rank and DEA Rank for Very High Human Development Level.

### 4.2.2. Evaluation for High Human Development Countries

The results for the high human development level is given in Table 5. There are a total of 53 countries at this level.

Table 5. Countries in High Human Development Level

No	DMU	HDI Rank	DEA Rank	DEA Score (%)	Weights				Benchmarks	Slack Values			
					Input		Outputs			Input		Outputs	
					Dummy	EDI	LEI	GNII		Dummy	EDI	LEI	GNII
2	ALB	68	36	91.28	1	0	1	0	75 (0.91)	0	0.04	0	41438.54
3	DZA	85	61	87.83	1	0	1	0	75 (0.88)	0	0.09	0	37508.06
44	CUB	73	29	93.51	1	0	1	0	75 (0.94)	0	0.02	0	47103.98
8	ARM	83	83	85.83	1	0.16	0.84	0	75 (0.50) 164 (0.36)	0	0	0	40708.71
11	AZE	80	105	81.59	1	0.16	0.84	0	75 (0.54) 164 (0.27)	0	0	0	31846.79
18	BLZ	106	117	79.46	1	0.16	0.84	0	75 (0.18) 164 (0.61)	0	0	0	38770.51
22	BIH	77	53	89.05	1	0	1	0	75 (0.89)	0	0.04	0	40305.05
23	BWA	101	130	74.77	1	0.16	0.84	0	75 (0.28) 164 (0.47)	0	0	0	27772.95
106	MDV	101	43	89.96	1	0	1	0	75 (0.90)	0	0.21	0	38987.3
6	ATG	70	56	88.24	1	0	1	0	75 (0.88)	0	0.08	0	30783.06
36	CHN	86	59	88.03	1	0	1	0	75 (0.88)	0	0.11	0	36158.56
37	COL	90	86	85.09	1	0	1	0	75 (0.85)	0	0.05	0	36772.32
41	CRI	63	28	93.71	1	0	1	0	75 (0.94)	0	0.08	0	40110.53
51	ECU	86	56	88.24	1	0	1	0	75 (0.88)	0	0.06	0	41200.05
49	DMA	103	39	90.57	1	0	1	0	75 (0.91)	0	0.16	0	44565.16
50	DOM	94	91	84.38	1	0	1	0	75 (0.84)	0	0.08	0	35374.57
175	TUR	64	64	87.42	1	0	1	0	75 (0.87)	0	0.06	0	26269.02
59	FJI	92	99	83.51	1	1	0	0	65 (0.84)	0	0	0.01	30204.47
62	GAB	110	139	72.66	1	0.16	0.84	0	75 (0.57) 164 (0.16)	0	0	0	25890.35
64	GEO	70	45	89.89	1	1	0	0	65 (0.90)	0	0	0.02	32287.31

68	GRD	75	90	84.62	1	0.16	0.84	0	75 (0.03) 164 (0.82)	0	0	0	35919.73
169	MKD	80	67	87.12	1	0	1	0	75 (0.87)	0	0.05	0	38390.24
24	BRA	79	72	86.92	1	0	1	0	75 (0.87)	0	0.06	0	37021.79
144	LCA	90	72	86.92	1	0	1	0	75 (0.87)	0	0.07	0	39081.81
135	PER	89	81	86.21	1	0	1	0	75 (0.86)	0	0.05	0	38572.94
146	WSM	104	81	86.21	1	0	1	0	75 (0.86)	0	0.05	0	44453.06
80	IRN	60	62	87.63	1	0	1	0	75 (0.88)	0	0.01	0	32061.56
85	JAM	97	63	87.53	1	0	1	0	75 (0.88)	0	0.06	0	43286.3
87	JOR	95	87	84.99	1	0	1	0	75 (0.85)	0	0.02	0	41362.91
96	LBN	80	32	93.20	1	0	1	0	75 (0.93)	0	0.16	0	41072.28
99	LBY	108	107	81.34	1	0	1	0	75 (0.81)	0	0.08	0	36418.09
109	MHL	106	96	83.81	1	0.16	0.84	0	75 (0.69) 164 (0.15)	0	0	0	43715.84
111	MUS	65	84	85.60	1	0	1	0	75 (0.86)	0	0	0	29817.49
112	MEX	74	49	89.45	1	0	1	0	75 (0.89)	0	0.09	0	35313.9
114	MDA	112	108	81.09	1	0.16	0.84	0	75 (0.41) 164 (0.40)	0	0	0	41504.76
115	MNG	92	106	81.49	1	1	0	0	65 (0.81)	0	0	0.01	27492.93
130	PLW	60	47	89.79	1	1	0	0	65 (0.90)	0	0	0.02	28593.23
132	PAN	66	38	90.77	1	0	1	0	75 (0.91)	0	0.08	0	33850.29
134	PRY	110	101	83.06	1	0	1	0	75 (0.83)	0	0.08	0	40145.33
143	KNA	72	88	84.79	1	0	1	0	75 (0.85)	0	0.04	0	25554.57
145	VCT	99	100	83.16	1	0	1	0	75 (0.83)	0	0.06	0	38085.57
150	SRB	67	70	87.04	1	0.16	0.84	0	75 (0.07) 164 (0.80)	0	0	0	37191.45
151	SYC	62	93	84.06	1	0.16	0.84	0	9 (0.00) 75 (0.64) 164 (0.20)	0	0	0	22869.18
160	LKA	76	75	86.77	1	0.16	0.84	0	75 (0.70) 164 (0.17)	0	0	0	39228.58
162	SUR	100	112	80.43	1	0	1	0	75 (0.80)	0	0.05	0	33678.8
168	THA	83	77	86.61	1	0	1	0	75 (0.87)	0	0.08	0	35083.07
172	TON	98	92	84.08	1	0.17	0.83	0	9 (0.49) 75 (0.00) 164 (0.35)	0	0	0	35955.96
173	TTO	69	113	80.03	1	0.17	0.83	0	9 (0.13) 164 (0.67)	0	0	0	15683.68
174	TUN	95	66	87.32	1	0	1	0	75 (0.87)	0	0.09	0	40738.68
176	TKM	108	129	74.85	1	0	1	0	75 (0.75)	0	0.01	0	28132.12
178	UKR	88	89	84.68	1	0.72	0.28	0	9 (0.18) 65 (0.67)	0	0	0	30476.07
183	UZB	105	109	80.81	1	0.16	0.84	0	75 (0.16) 164 (0.64)	0	0	0	40227.26
185	VEN	78	85	85.59	1	0.16	0.84	0	75 (0.64) 164 (0.22)	0	0	0	39158.95

Table 5 shows that the GNII variable does not have a weight value (GNII weight value = 0) for all countries in this group. This shows that inefficient countries do not use the GNII variable when creating their role models. In other words, it can be said that the GNI variable is not important in creating role models. Figure 3 shows the comparison of HDI Rank and DEA Rank values of the countries for High Human Development Level.

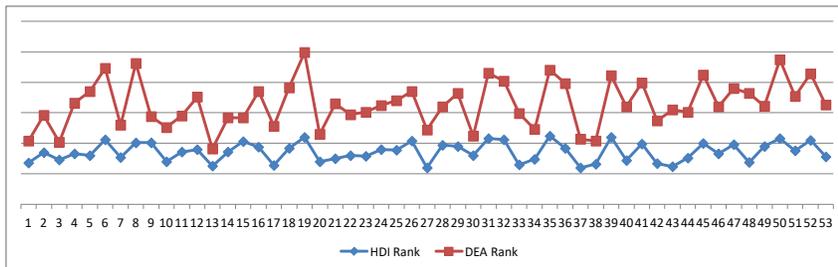


Figure 3. Comparison of HDI Rank and DEA Rank for High Human Development Level.

### 4.2.3. Evaluation for Medium Human Development Countries

The results for the high human development level is given in Table 5. There are a total of 39 countries at this level.

Table 6. Countries in Medium Human Development Level

No	DMU	HDI Rank	DEA Rank	DEA Score (%)	Weights				Benchmarks	Slack Values			
					Input		Outputs			Input	Input	Input	Input
					Dummy	EDI	LEI	GNII					
5	AGO	147	159	65.21	1	0	1	0	75 (0.65)	0	0.06	0	32307.42
14	BGD	136	103	82.35	1	0	1	0	75 (0.82)	0	0.2	0	44433.59
20	BTN	134	119	78.90	1	0	1	0	75 (0.79)	0	0.23	0	38031.1
21	BOL	118	121	77.68	1	0.16	0.84	0	75 (0.23) 164 (0.54)	0	0	0	38232.38
29	CPV	125	102	82.66	1	0	1	0	75 (0.83)	0	0.15	0	42305.33
31	CMR	151	169	60.74	1	0.17	0.83	0	9 (0.07) 164 (0.54)	0	0	0	30752.7
39	COG	137	147	70.39	1	0	1	0	75 (0.70)	0	0.08	0	35425.15
117	MAR	123	64	87.42	1	0	1	0	75 (0.87)	0	0.22	0	43733.07
52	EGY	115	111	80.63	1	0	1	0	75 (0.81)	0	0.09	0	36748.25
54	GNQ	141	173	59.23	1	0	1	0	75 (0.59)	0	0.06	0	15088.7
57	SWZ	144	171	60.05	1	0.16	0.84	0	75 (0.25) 164 (0.35)	0	0	0	27187.09
78	IND	130	127	76.17	1	0	1	0	75 (0.76)	0	0.1	0	38143.37
81	IRQ	120	120	78.09	1	0	1	0	75 (0.78)	0	0.13	0	27833.13
89	KEN	142	133	73.83	1	0	1	0	75 (0.74)	0	0.08	0	40172.62
90	KIR	134	140	72.52	1	0	1	0	75 (0.73)	0	0	0	39321.37
93	KGZ	122	110	80.70	1	0.17	0.83	0	9 (0.35) 75 (0.00) 164 (0.46)	0	0	0	38357.6
94	LAO	139	134	73.33	1	0	1	0	75 (0.73)	0	0.14	0	36767.38
53	SLV	121	94	83.87	1	0	1	0	75 (0.84)	0	0.14	0	42131.33
74	HND	133	94	83.87	1	0	1	0	75 (0.84)	0	0.22	0	44784.26
69	GTM	127	97	83.67	1	0	1	0	75 (0.84)	0	0.2	0	41602.83
131	PSE	119	97	83.67	1	0	1	0	75 (0.84)	0	0.06	0	43825.83
30	KHM	146	122	76.98	1	0	1	0	75 (0.77)	0	0.17	0	41557.36
79	IDN	116	122	76.98	1	0	1	0	75 (0.77)	0	0.04	0	34124.36

113	FSM	131	122	76.98	1	0	1	0	75 (0.77)	0	0.07	0	41127.37
120	NAM	129	148	69.98	1	0	1	0	75 (0.70)	0	0.03	0	31495.15
121	NPL	149	118	79.01	1	0	1	0	75 (0.79)	0	0.17	0	43684.34
124	NIC	124	74	86.82	1	0	1	0	75 (0.87)	0	0.18	0	45560.57
129	PAK	150	138	72.72	1	0	1	0	75 (0.73)	0	0.21	0	37170.86
72	GUY	125	135	72.92	1	0	1	0	75 (0.73)	0	0.03	0	35153.38
119	MMR	148	135	72.92	1	0	1	0	75 (0.73)	0	0.18	0	37033.38
136	PHL	113	125	76.94	1	0.16	0.84	0	9 (0.00) 75 (0.70) 164 (0.07)	0	0	0	35737.4
147	STP	143	135	72.92	1	0	1	0	75 (0.73)	0	0.07	0	39659.39
157	ZAF	113	128	75.32	1	1	0	0	65 (0.75)	0	0	0.04	22826.24
166	TJK	127	114	79.92	1	0	1	0	75 (0.80)	0	0.02	0	43371.57
66	GHA	140	155	67.14	1	0	1	0	75 (0.67)	0	0.02	0	35127.16
170	TLS	132	126	76.77	1	0	1	0	75 (0.77)	0	0.15	0	38005.86
184	VUT	138	104	81.64	1	0	1	0	75 (0.82)	0	0.17	0	44700.82
186	VNM	116	58	88.13	1	0	1	0	75 (0.88)	0	0.13	0	45628.75
188	ZMB	144	158	66.22	1	0.16	0.84	0	75 (0.33) 164 (0.33)	0	0	0	34869.19

From Table 6, it is seen that the GNII variable has no significant effect on the role model of any country for this group. Figure 4 shows the comparison of HDI Rank and DEA Rank values of the countries for Medium Human Development Level.

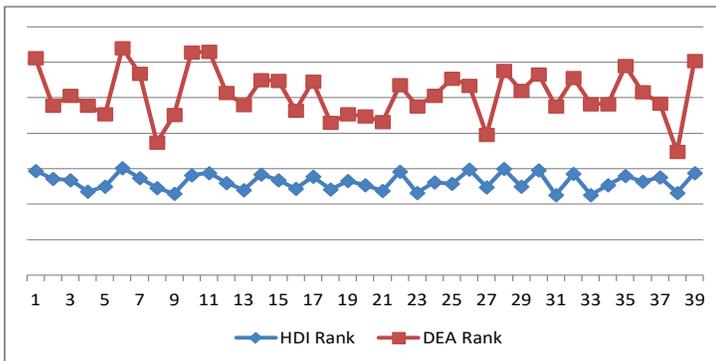


Figure 4. Comparison of HDI Rank and DEA Rank for Medium Human Development Level.

#### 4.2.4. Evaluation for Low Human Development Countries

The results for the high human development level is given in Table 5. There are a total of 39 countries at this level.

**Table 7.** Countries in Low Human Development Level

No	DMU	HDI Rank	DEA Rank	DEA Score (%)	Weights					Slack Values			
					Input		Outputs			Input		Outputs	
					Dummy	EDI	LEI	GNII		Dummy	EDI	LEI	GNII
1	AFG	168	150	68.76	1	0	1	0	75 (0.69)	0	0.17	0	38347.16
19	BEN	163	162	64.20	1	0	1	0	75 (0.64)	0	0.08	0	35443.92
27	BFA	183	163	63.59	1	0	1	0	75 (0.64)	0	0.26	0	35499.43
33	CAF	188	181	51.32	1	0	1	0	75 (0.51)	0	0.1	0	29317.24
34	TCD	186	180	51.83	1	0	1	0	75 (0.52)	0	0.15	0	28526.48
38	COM	165	151	68.56	1	0	1	0	75 (0.69)	0	0.11	0	38653.64
40	COD	176	168	62.47	1	0	1	0	75 (0.62)	0	0.04	0	35701.68
42	CIV	170	179	53.25	1	0	1	0	75 (0.53)	0	0.03	0	27624.98
48	DJI	172	157	66.53	1	0	1	0	75 (0.67)	0	0.26	0	35475.66
55	ERI	179	145	71.10	1	0	1	0	75 (0.71)	0	0.33	0	39783.88
58	ETH	173	143	71.60	1	0	1	0	75 (0.72)	0	0.29	0	40111.14
63	GMB	174	161	64.60	1	0	1	0	75 (0.65)	0	0.18	0	36225.92
70	GIN	175	164	63.39	1	0	1	0	75 (0.63)	0	0.2	0	34963.93
73	HTI	168	153	68.05	1	0	1	0	75 (0.68)	0	0.15	0	38091.39
97	LSO	159	177	54.71	1	0.17	0.83	0	9 (0.35) 164 (0.19)	0	0	0	23304.97
104	MWI	171	152	68.15	1	0	1	0	75 (0.68)	0	0.13	0	38751.66
107	MLI	182	172	60.04	1	0	1	0	75 (0.60)	0	0.22	0	33122.7
110	MRT	159	154	67.65	1	0	1	0	75 (0.68)	0	0.19	0	35927.4
118	MOZ	180	170	60.65	1	0	1	0	75 (0.61)	0	0.13	0	34338.18
125	NER	189	166	63.08	1	0	1	0	75 (0.63)	0	0.33	0	35947.18
126	NGA	157	178	53.41	1	0.17	0.83	0	9 (0.12) 164 (0.41)	0	0	0	23842.36
133	PNG	153	144	71.30	1	0	1	0	75 (0.71)	0	0.18	0	38249.38
142	RWA	158	131	74.14	1	0	1	0	75 (0.74)	0	0.18	0	41500.38
103	MDG	161	141	72.21	1	0	1	0	75 (0.72)	0	0.12	0	40827.63
167	TZA	154	141	72.21	1	0	1	0	75 (0.72)	0	0.18	0	39530.64
149	SEN	164	132	74.04	1	0	1	0	75 (0.74)	0	0.27	0	40868.07
152	SLE	184	182	50.30	1	0	1	0	75 (0.50)	0	0.04	0	28147.75
156	SLB	152	115	79.61	1	0	1	0	75 (0.80)	0	0.21	0	44638.85
158	SSD	187	176	58.22	1	0	1	0	75 (0.58)	0	0.2	0	33046.17
161	SDN	167	149	69.78	1	0	1	0	75 (0.70)	0	0.27	0	36644.61
165	SYR	155	116	79.51	1	0	1	0	75 (0.80)	0	0.27	0	44114.56
98	LBR	181	155	67.14	1	0	1	0	75 (0.67)	0	0.14	0	38556.16
171	TGO	165	165	63.18	1	0	1	0	75 (0.63)	0	0.03	0	35459.43
28	BDI	185	174	59.03	1	0	1	0	75 (0.59)	0	0.08	0	33781.2
177	UGA	162	167	62.68	1	0	1	0	75 (0.63)	0	0.01	0	34958.16
71	GNB	177	174	59.03	1	0	1	0	75 (0.59)	0	0.11	0	32931.2
187	YEM	178	146	70.49	1	0	1	0	75 (0.70)	0	0.25	0	39939.35
189	ZWE	156	160	65.14	1	0.16	0.84	0	75 (0.63) 164 (0.03)	0	0	0	36348.36

Table 7 shows that the GNII variable is not used to create role models of inactive countries in this group. Figure 3 shows the comparison of HDI Rank and DEA Rank values of the countries for Low Human Development Level.

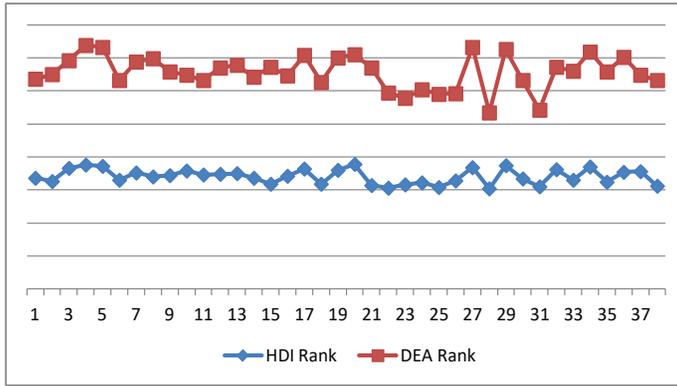


Figure 5. Comparison of HDI Rank and DEA Rank for Low Human Development Level.

#### 4.2.5. Evaluation for countries with the same DEA scores

Table 8 shows the countries with the same score and ranking as a result of the DEA analysis. HDI rank and HDI Level values are also included in the table and a general comparison is provided.

Table 8. Countries with the same DEA scores.

DMUs	DEA Score (%)	DMU Rank	HDI Score	HDI Rank	HDI Level	DMUs	DEA Score (%)	DMU Rank	HDI Score	HDI Rank	HDI Level	DMUs	DEA Score (%)	DMU Rank	HDI Score	HDI Rank	HDI Level
CUB	93.51	29	0.777	73	2	BRA	86.92	72	0.759	79	2	GUY	72.92	135	0.654	125	3
LTU			0.858	35	1	LCA			0.747	90	2	MMR			0.578	148	3
MDV	89.96	43	0.717	101	2	PER	86.21	81	0.75	89	2	STP	72.21	141	0.519	161	4
URY			0.804	55	1	WSM			0.713	104	2	MDG			0.589	143	3
ATG	88.24	56	0.78	70	2	SLV	83.87	94	0.674	121	3	TZA	67.14	155	0.538	154	4
ECU			0.752	86	2	HND			0.617	133	3	GHA			0.592	140	3
MAR	87.42	64	0.667	123	3	GTM	83.67	97	0.65	127	3	LBR	59.03	174	0.435	181	4
TUR			0.791	64	2	PSE			0.686	119	3	BDI			0.417	185	4
BHS	87.12	67	0.807	54	1	KHM	76.98	122	0.582	146	3	GNB			0.455	177	4
MKD			0.757	80	2	IDN			0.694	116	3						
						FSM			0.627	131	3						

It is seen from the Table 8 that although CUB and LTU have the same efficient ranking according to the DEA score, HDI levels of these countries are different. For example according to HDI Level values, while CUB is defined as high human development country (HDI Level = 2), LTU is defined as very high human development country (HDI Level = 1). Other DMUs in the table can be interpreted in a similar way.

## 5. Conclusion

In this study, relative efficiency of world countries is measured by DEA method and various inferences are made for efficient and inefficient countries. For this purpose, input-oriented CCR DEA model, which is proposed by Mahlberg and Obersteiner (2001), is used. By using the DEA method in the calculation of HDI: the data was used in its original form without any standardization, and the weights of the variables used were calculated based on the data without using any prior information.

The difference of the study from similar studies in the literature (Despotis, 2005; Başar et al., 2015) is that it proposes role models to inefficient countries. Thanks to the role model, it is determined which countries they can take as an example for inefficient countries to become efficient. The input-oriented CCR DEA model, which is used to determine inefficient countries, is named as non-common weighted model because it calculates the weights for each DMU separately.

Whereas HDI uses general weights for DMUs the comparison of HDI scores with the results of DEA model is not very accurate. Future studies may develop DEA models using general weights for each DMU, just like the method used in HDI.

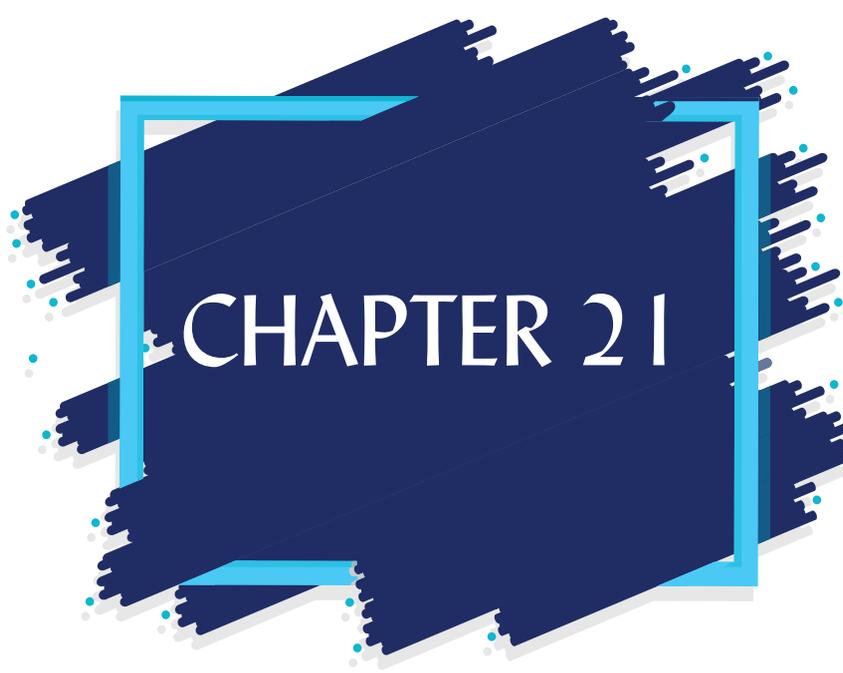
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# IMPORTANCE OF CULTURAL TOURISM IN DESTINATION MARKETING

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## CHAPTER 21

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## IMPORTANCE OF CULTURAL TOURISM IN DESTINATION MARKETING

Murat AKSU<sup>1</sup>, Serkan TÜRKMEN<sup>2</sup>

### INTRODUCTION

New destinations with very unique characteristics emerge every day in the world's intensive tourism competition. Therefore, many countries offering similar tourism products are adversely affected by competition. In order to make a good start in the tourism sector and to progress with firm steps, the destinations are required to constantly review themselves and to develop policies that will highlight the main benefit or value they offer to their visitors and increase their competitiveness (Yavuz 2007: 41).

Cultural tourism is one of the important tourism types used in destination marketing. This type of tourism has a tourist profile which attaches importance to culture and does its best to protect it. Therefore, while the destinations are being marketed, the resources of the destination should be examined well and then the type of tourism that will make a difference compared to other destinations should be selected. Destinations with high cultural values will make a difference with a correct strategy and will generate more revenue compared to competitors. Because of all these, as one of the important tourism types in destination marketing, the cultural tourism should be well examined and researched. The research has thus focused on the importance of cultural tourism in destination marketing, cultural tourism and destination marketing. The intention in particular is to explain what the destination resources are, asking the decision makers in the destinations to make correct decisions.

### Destination Marketing

As a word of French origin, the word “destinasyon” has entered into our language from English. In English, the word is used as end goal, the stipulated end while directing something and the last place of arrival in a visit (Türkyay 2014: 3). Yüksek (2014) defined “destination” as the word that is considered to define the place of arrival as best, although it does not meet the exact meaning. The Turkish Language Association defines the word as “place to be arrived”. Nowadays, many authors use the word “destination” as “destinasyon”, the Turkish equivalent (Yüksek 2014: 1).

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The destination consists of a combination of goods, services and holiday experiences offered on a local scale (Kozak et al. 2011: 45) and is defined as a place known by a significant number of visitors, attracting tourists with different features and having a distinctive structure (Tosun and Jenkins 1996: 520). The precise definition of the features of touristic destinations, which can also be defined as areas that economically contribute to the local and national structure and supported with natural and cultural elements of appeal in addition to infrastructure opportunities (Hudson 1998: 960) is important in terms of exhibiting the destination structure, defining the management structure, fulfilling the tourists' needs and providing continuity to the touristic demand.

Usta (2009: 224) defines destination as “a place that creates a demand on its own with the appeal it creates and which requires planning for the fulfillment of the secondary needs that arise during the purpose of the basic visit”. Usta defines the following in order for the “location” to be qualified as a destination; (1) the demand includes features that will fulfill one or more basic tourism needs (such as historical, natural, cultural values), (2) it includes the required elements to meet the requirements such as accommodation, catering, entertainment and services.

Although the physical concept of the destination is often understood as a region with definite boundaries, it is not always a geographical part with very specific boundaries based on the values created in the conscious of the visitor. Depending on the changes in the trends of the market, the boundaries and forms of the destinations may change. Therefore, maps showing the boundaries of destination are valid only for a certain period of time (Usta 2009: 225).

In order to be regarded as a destination, it should include cultural, climate and natural characteristics as well as natural and cultural richness; region-specific activities should be developed for the visiting tourists; means of accommodation, eating-drinking, transportation and communication should be available in addition to public services and tourist attraction centers and it should have a specific brand and image, being a geographical region with definite boundaries (Bahar and Kozak 2005: 78). Especially the fact that many destinations in the world have similar characteristics and partial similarities make it necessary to differentiate destination marketing and destinations. Destinations are intended to offer tourists an authentic experience by differentiating their natural and cultural attractions. Accordingly, many destinations aim to enter the tourism market in order to provide different services to tourists in the tourism industry (Kaya 2014: 1).

Destination marketing is to make a destination identity, which is created in accordance with the attributes of a place, more attractive with effective communication efforts towards selected target groups (Bardakoğlu and Pala 2009). In order to achieve a common goal in the destination marketing, various organizations need to act in a harmonious manner in a geographically restricted area (Wang, 2008). Destination marketing, also known as location or regional marketing, is defined as “the entirety of the marketing activities carried out in order to show that it is attractive and special to an area, a region or a place for individuals or travel professionals” (Uygur and Çelik 2009: 892).

Destinations are places with many concrete and abstract features and attractiveness, which are the special places to respond to the reasons why tourists travel (Okumus et al. 2007). However, because of the high number of destinations that can meet tourists’ needs and wishes, destinations are in competition to attract tourists. In this competition, destination marketing is needed to differentiate and make the destinations more attractive than others (Campelo et al. 2014). Destination marketing, as a result of the transition of tourism to modern understanding, covers a region or city and is usually a component of marketing efforts at the national level. Although the destination marketing is defined as shaping the tourism demand for the destination; in recent years, the destinations have been intensively trying to become a brand in terms of national and international market competition. In order to be aware of the destinations in intense competition environment, they should stand out with a remarkable and different image and carry out their marketing activities (Ersun and Arslan 2009: 100-101).

### **Cultural Tourism**

Cultural tourism was first defined narrowly in 1969 as “traveling with cultural motivations” in a congress held in the city of Ontario, Canada; later different definitions were made on cultural tourism by various writers (Albayrak 2013: 51). The tours that may fall into cultural tourism go back to the 16th century (Feifer 1985). Silberberg (1995: 361) defines the cultural tourism as ‘visits by persons from outside the host community motivated wholly or in part by interest in the historical, artistic, scientific or lifestyle/heritage offerings of a community, region, group or institution’. Richards (1996: 24) defined cultural tourism conceptually and technically in two ways. According to the conceptual definition, cultural tourism is defined as “the movement of persons to cultural attractions away from their normal place of residence, with the intention to gather new information and experiences to satisfy their cultural needs” while the technical definition by Richard (1996: 24) is as “all movements of persons to specific cultural

attractions, such as heritage sites, artistic and cultural manifestations, arts and drama outside their normal place of residence”.

There are no clear definitions of cultural tourism in the relevant literature. Although this concept is a common point by different authors, it is defined differently (Mousavi et al., 2016; Chen and Rahman 2018). One of the main reasons for this is the lack of the limits of the variety and source of the concept of “culture”, which is the main element of cultural tourism (Richards 2003). Although there are different definitions related to cultural tourism, tourists travel to learn and experience the lifestyles, cultures and traditions of the people they do not know (Jafari 2000). Therefore, places with such attractiveness that allow people to travel with such purposes can be defined as cultural destination (Chen and Rahman 2018).

Cultural tourism is one of the fastest growing types of tourism. Especially in the 19th century, Europeans’ interest and curiosity about Egyptian civilization increased interest in cultural tours in Europe. The basis of cultural tourism lies in the increasing desire of people to visit different and more authentic places. In this context, as tourists are willing to explore culturally during their trips, cultural tourism has progressed gradually (Wang et al. 2006: 49). On this basis, it is possible to say that the beginning of tourism is not a sea-sand-sun-connected holiday tourism, but cultural tours with the instinct of knowing, seeing and not learning things that are not known, seen or learned yet (Genim 2002: 205).

Cultural tourism can be classified as current cultural tourism and historical cultural tourism (Albayrak 2013: 58):

*Current Cultural Tourism:* Activities play an important role. These activities are examined in five sections, especially considering the number of viewers:

- Local Activities: Various artistic events, concerts, exhibitions and festivals.
- Small Regional Events: Various trade and industry fairs, private professional fairs and exhibitions.
- Important Regional Activities: Festivals.
- National Events: Film Festivals etc.
- International Major Events: World Cup, Winter Ski Games etc.

*Historical Cultural Tourism:* It is based on the principle of showing the historical cultural heritage within the national borders with the help of a certain touristic organization. This is very closely related to the feeling of ownership of the historical cultural heritage formed within the society. Foreigners' interest in this heritage is increasing in proportion to the ownership of this heritage by society.

Cultural tourism can be divided into subgroups as “urban cultural tourism” and “rural cultural tourism” depending on the location. Urban cultural tourism is about recognizing urban life (culture), not historical heritage. The attractiveness of the urban lifestyle that involves art galleries, concerts, opera, shows, exhibitions, shopping etc. motivates tourists to urban tourism. Seeing international airports, staying in international hotels, shopping in famous shopping centers and watching the visual arts are used to communicate with urban life. Rural cultural tourism includes rural tourism attractions. Tourists want to live and share the rural culture by staying in the village houses, buy local food, local means of transportation, receiving handicrafts firsthand as well as local sports, local health systems (Doğaner 2013: 14-15).

Factors affecting the development of cultural tourism are listed below (Kızılırmak and Kurtuldu 2005: 103):

- People having the desire to learn more in their travels due to the high level of education of cultural tourists,
- Cultural tourism providing the power of positive thinking to its participants,
- Establishing new types of cultural tourism,
- Making people aware of cultural tourism opportunities through media,
- Maintaining activities conducted by the private sector and voluntary organizations in an intensive manner,
- Economic and political change in Eastern Europe affecting tourism.

### **Importance of Cultural Tourism in Destination Marketing**

The main sources feeding tourism are natural beauties, recreational activities and cultural riches. Natural beauty includes sea, beach, flora and fauna, mountains, national parks, natural landforms (fairy chimneys, etc.), hot springs, lakes, rivers, etc. Entertainment activities are activities that are

specific to the location and the type of activity including animation shows in hotels or motels, cinema, theater etc. in entertainment centers. activities and sports activities in sports facilities. Cultural riches are historical places such as historical sites, museums, historical and archaeological artifacts, handicrafts, folk dances, fairs, clothing and values such as religious and national values, customs, traditions, hospitality (Çakır 1999).

Although natural beauties and entertainment activities awaken people's desire to travel for touristic purposes, their interest in cultural richness has increased; in other words, culture has led to tourism. People have been more conscious of things such as learning, seeing, self-development and the desire to be informed, rather than wandering aimlessly, and have traveled towards cultural targets (Usta 2014: 83).

People are more interested in the historical past, historical heritage, different cultural identities and the material and spiritual cultural values they have created, and do more research on these issues. In this respect, tourism has given people the opportunity to recognize different cultural and artistic assets, to give a new dimension to their perspective and to compare the past and present values. This has also created a sense of protecting and preserving cultural assets and values in people (Çakır 1999: 35).

Destinations are the places where tourists plan to travel. There are various motivations that drive people to travel (Silberberg 1995). In terms of meeting these motivations, the places that attract tourists are called destinations. In other words, a place not visited by tourists is not a destination. However, certain efforts may be made in every region with the aim of attracting tourists through marketing. Destinations may emerge with an understanding of the purpose of meeting the tourists' needs. The development of these destinations will be possible through sustainable management policies (Yüksek 2014: 2). In this respect, destinations are one of the indispensable components of tourism; although the degree varies, tourism is one of the most important economic and social activities affecting the development of a destination. Nowadays, where the competition is increasing rapidly and customers are more selective, the tourism industry is under a great pressure. Recognizing the value of tourism at local, regional, national and international levels, administrations try to diversify tourism activities in countries, regions, towns or islands and head towards restructuring in this direction (Özdemir 2008: 7).

Culture is one of the most important sources of motivation for tourists. People participate in touristic travels to see new places, experience lifestyles and values of different societies, learn about different societies, and participate in various cultural events. In fact, by participating in this

type of travel, an interaction between tourists and local people emerges, creating a different culture. Therefore, there is a close relationship between tourism and culture, and this consumption process created by culture can be defined as cultural tourism (Richard 2018). In other types of tourism, tourists see and learn different cultures, but the distinctive feature of cultural tourism is to learn the culture of movement. Thus, the term “cultural tourist” emerges. The purpose of the trip of cultural tourists is to increase their culture with new knowledge and experiences. Cultural tourism is a learning objective for cultural tourists. In fact, culture tourists are well-educated tourists compared to other tourists, as most of the sources of cultural tourism are related to high culture. However, in order to generate more income from the cultural tourism market, the presentation of popular cultural products is also increasing. Visual press, especially documentaries introducing different cultures, increase participation in cultural tourism. The tours of cultural tourists attract the interest of tourists who are not interested in culture and who have been directed to sun and beaches for years.

The characteristics of the tourists participating in cultural tourism vary compared to the participants of holiday tourism (Silberg 1995: 363):

- The income levels of tourists are higher and they spend more compared to the holiday tourism.
- The tourists stay longer during the trip.
- The tourists prefer hotels and motels more as accommodation preferences.
- Tourists make more purchases and spend more than other tourists.
- The level of education of the tourists is higher than the inhabitants of the region.
- The ratio of women is higher than that of men.
- Tourists in cultural travels are in the middle age and older age group.

Cultural tourism resources are very high. Figure 1 shows the sources of cultural tourism.

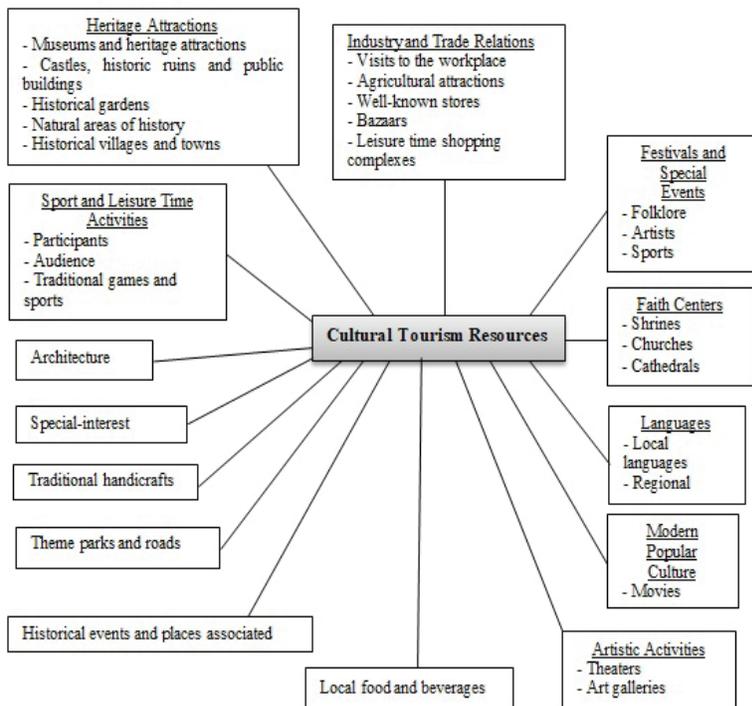


Fig. 1. Cultural Tourism Resources

Source: Swarbrooke, J. (1999). Sustainable Tourism Management, First Printed, CABI Publishing, USA, pp. 307.

All of these show that destinations are the centers of tourist attraction. Howie (2003) lists the centers of attraction as follows (Arıkan and Yüksel 2009: 1114):

- Cities (especially historical and cultural cities), villages, small towns,
- Islands and holiday centers,
- Protected areas (especially rural areas and national parks),
- Regions and countries.

A cultural tourism attraction does not constitute a tourism product by itself. For this, the attraction also needs the following based on range of services and activities: The tourism product is based on the additional

accommodation and transportation within the basic attraction. The product of cultural tourism includes the following (Munsters and De Klumbis 2005: 29):

- *Self-product*: In addition to cultural attractions (monuments, museums, cultural events), it is also associated with special cultural tourism services. For example, information provided by museum guides and education.
- *Additional product*: General elements of tourism products include combinations of cultural attractors:

*General tourist activities and services offered:*

- Tourist Organizations and Travel Agencies: Tourist Offices, National Tourist Organizations, Tourist Clubs, Travel Agencies, Tour Operators

- Primary Tourism Enterprises (businesses providing services to primary tourism customers and operating in the main tourism sector): Hotels, holiday parks, camps

- Secondary tourism enterprises (companies that provide their own products and services for the local population, but used by tourists): Catering industry, (cafes, restaurants) retailers (shopping centers, banks)

*Transportation Infrastructure:*

- Accessibility (transport services by tourists or public vehicles): Traffic signs, parking facilities.

- Private and public transport activities: Car, bus, train, airplane, ship, taxi, city bus, metro.

Local people can be an element of attraction in cultural tourism. The lifestyle of the local people, the food they produce, the dishes they make and their unique activities can be the elements of cultural attraction (Mosvete et al. 2015). It is not possible to determine the travels that are covered by cultural tourism. There are many concrete and abstract elements within cultural attractions (Liu 2014). According to Du Cros and McKercher (2014) the material elements creating attraction in the culture tourism are ancient cities, villages, structures, archaeological sites, cultural objects, handmade products and various museums. In terms of cultural tourism, non-material elements include values such as beliefs, traditions, historical values, social values, handicrafts, manis, performing arts, rituals, feasts, etc. (UNESCO 2014). Therefore, it is not possible to make a clear classification

for cultural tourism since there are many abstract and concrete assets that can be the source of cultural tourism. Table 1 shows the generally accepted cultural tourism classification in the literature.

**Table 1.** *Types of cultural tourism*

Types of cultural tourism	Tourism products, activities
Heritage tourism	<ul style="list-style-type: none"> <li>- Natural and cultural heritage</li> <li>- Concrete: Established heritage, architectural areas, world heritage sites, national and historical monuments</li> <li>- Abstract: Written works, art, folklore</li> <li>- Cultural heritage areas: Museums, collections, libraries, theaters, events, monuments for historical persons</li> </ul>
Cultural thematic roads	<ul style="list-style-type: none"> <li>- Various themes and types: Religious, industrial, artistic, gastronomic, architecture, linguistic, minority, dialect</li> </ul>
Cultural city tourism, cultural tours	<ul style="list-style-type: none"> <li>- Classic city tourism, sightseeing</li> <li>- Cultural capitals of Europe</li> <li>- Cities created for cultural tourism</li> </ul>
Traditional, ethnic tourism	<ul style="list-style-type: none"> <li>- Local cultural traditions</li> <li>- Ethnicity</li> </ul>
Event and festival tourism	<ul style="list-style-type: none"> <li>- Cultural festivals and events: Music festivals and events, fine arts festivals and events</li> </ul>
Religious tourism, pilgrimage routes	<ul style="list-style-type: none"> <li>- Visiting religious places and areas with religious motivation, visiting religious places and areas without religious motivation, pilgrimage routes</li> </ul>
Creative culture, creative tourism	<ul style="list-style-type: none"> <li>- Traditional culture and artistic activities: Performance arts, visual arts, cultural heritage and written works</li> <li>- In addition to the cultural industry: Printed works, multimedia, press, cinema, audiovisual and phonographic products, craftsmen, design and cultural tourism</li> </ul>

Source: Csapo J. 2012. *The role and importance of cultural tourism in modern tourism industry: strategies for tourism industry – micro and macro perspectives*. Rijeka: Intech Open Access Publisher, pp. 224.

In short, the relationship between tourism and culture allows tourists to carry out cultural trips consciously by giving them the opportunity to get acquainted with other cultures, and to enable the people in the region to accept tourists and to protect them and make them sustainable by recognizing their historical and cultural values and riches (Usta 2014: 83).

## Conclusion

The tourism sector is growing more and more every year in terms of participants. With the increase in the number of tourists, the number of destinations that tourists can go to is also increasing. This has started a fierce competition among the destinations. Many destinations in this competition offer similar products and the number of options is increasing for tourists to choose the destinations to visit (Girma and Adissu 2016). The cultural and natural attractions of the destinations are not sufficient to attract tourists to the region and the destination marketing of destinations should be done in a professional way in the differentiation of the attractions for tourists.

Considering the characteristics of the programs evaluated in terms of cultural attractiveness, there are elements such as museums, festivals, archeological and historical artifacts, theme parks, handmade products, faith centers, local people, art galleries (McKercher et al. 2002; Kim et al. 2007; Croes ve Semrad 2015). In order to attract cultural tourists to destinations, the characteristics and structure of the market should be determined. One of the most important elements is the motivation resources of these groups of tourists for participating in the travels. McKercher (2002) divided the cultural tourists into five groups, taking into account the cultural motives and cultural travel experiences that tourists will receive when visiting a destination. These groups are classified as (1) the purposeful cultural tourist, (2) the sightseeing cultural tourist, (3) the causal cultural tourist, (4) the incidental cultural tourist, and (5) the serendipitous cultural tourist. The purpose of this classification is to show how effective the role of culture can be in choosing a destination. While cultural elements may be effective in choosing a destination for tourists with a traveling purpose of culture, tourists traveling for a different purpose can see culture as a part of the tour.

Chiang et al. (2015) divided the travel motivation of cultural tourists into four main groups. These motivations are referred to as skill learning-related motivation, escape-related motivation, network-related motivation and sightseeing-related motivation.

Van't Riet (1995) has stated that the main motivations of cultural travelers include traveling, knowing, learning and experiencing cultural values. Besides, he has determined that cultural tourists travel in order to relax, enjoy and develop social relations. In their study, McKercher and du Cros (2003) state that tourists travel to enjoy recreational activities and to have fun. Özel and Kozak (2012) state that cultural tourists have motivations such as socializing, resting, having fun and doing sports in addition to basic cultural motivations.

In the researches, it is observed that people who participate in cultural tourism do not act with motivation towards cultural values and travel with different motivations besides cultural elements. Therefore, the fact that a destination has only cultural values will not be enough to attract cultural tourists to that destination. Destination marketers need to make a cultural destination classification, taking into account the importance attributed by tourists to cultural elements. In this respect, tourists who travel for cultural purposes and tourists who travel with different purposes but want to make cultural elements a part of the journey should be classified correctly. The characteristics of the destinations should be analyzed well and they should be marketed in order to respond to the travel motivations of tourists.

In conclusion, the characteristics of the destinations are the most important factors in attracting tourists. However, the importance and impact of cultural tourism should be used correctly in marketing of destinations. First of all, the cultural values of the destinations should be classified and the cultural characteristics of the destinations should be presented according to the level of meeting the motivational needs of the tourists. Therefore, it is necessary to prepare the tourism product according to the tourist needs and to integrate the cultural values into the tourism product in order to meet the different tourist needs. In addition, the positioning of the destination must be done in such a way that the cultural values of the destination meet the different tourist needs. In other words, the destination should be positioned as a cultural destination if the cultural values of the destination have the potential to meet the needs of the people traveling for cultural purposes. However, the destination should be enriched in order to meet the needs of tourists such as rest, recreation and sports. If the cultural elements of the destination do not have the potential to meet the cultural satisfaction of cultural tourists, the destination should be positioned in a different tourism concept and present the culture as a supporting element.

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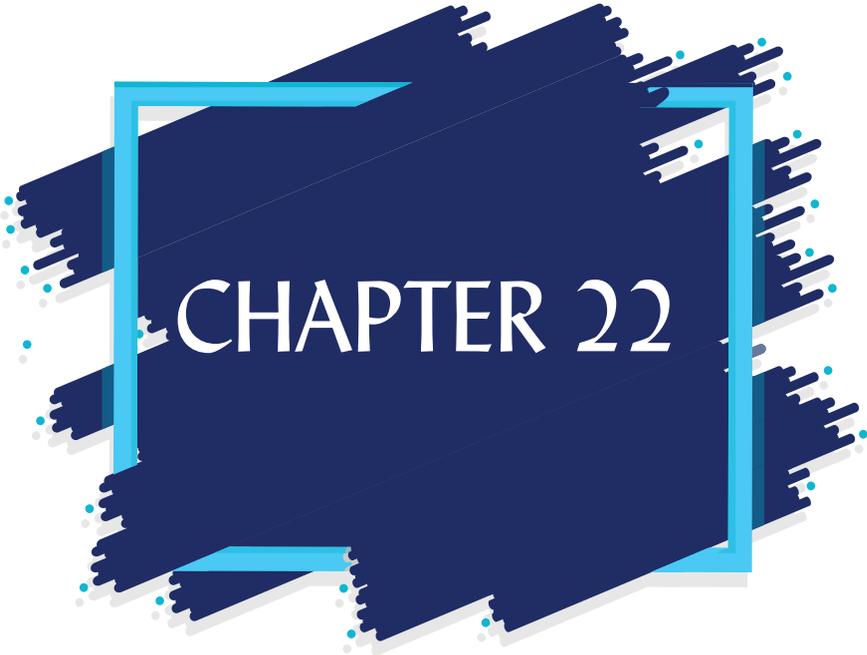
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# THE BEGINNING OF SÜLEYMAN DEMİREL'S JOURNEY TO ÇANKAYA: HIS ELECTION AS THE LEADER OF JUSTICE PARTY

Süleyman ÂŞIK<sup>1</sup>



## CHAPTER 22

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## THE BEGINNING OF SÜLEYMAN DEMİREL'S JOURNEY TO ÇANKAYA: HIS ELECTION AS THE LEADER OF JUSTICE PARTY

Süleyman ÂŞIK<sup>1</sup>

### INTRODUCTION

The military coup of 27 May 1960 not only ended the ten-year period of the Democratic Party (DP) in Turkish political history, but also led to a 1.5-year break in democracy. On 13 January 1961, the National Unity Committee (MBK), which held the coup and took over the administration of the country, allowed the release of political activities through the government (Bilgiç, 1988, p. 46). Political parties started to be established. Accordingly, Ragıp Gümüşpala, a retired soldier, founded Justice Party (AP) on 11 February 1961 (Milliyet, 1961, 12 February).

The organization process of Justice Party, which targeted a broad-based body, had been facilitated by the participation of former DP members in the party. In addition, different groups came together in the establishment. In the first years, three groups consisting of three pillars appeared. The first group was the new faces of politics and the second group was the big guns of DP, hence “*the moderates*”. The nationalist-conservative group led by Sadettin Bilgiç formed the third pillar, named as “*the extremists*”. The moderates were led by Tekin Arıburun, while the extremists were led by Sadettin Bilgiç (Birand, Dündar and Çaplı, 2000, p. 120). In other words, factionalization was observed within the party in a short time. The first serious test of these two groups took place in the presidential election held on 26 October 1961 and the competition between them gained momentum during the coalition of the Justice Party (AP) and Republican People's Party (CHP) (Bulut, 2009, p. 80). In fact, what kept these two groups together was the anger felt towards the May 27 military coup and the National Unity Committee (Demirel, 2013, p. 30). AP, which was established under these conditions, joined the elections for the first time in 1961, came as the second party after CHP and formed a coalition with this party. In the arithmetic of the Parliament where CHP gained 173 seats, AP obtained the right to be represented by 158 deputies (Uyar, 2012, p. 83).

In 1964, an unexpected development took place and Ragıp Gümüşpala, who came to Istanbul to deliver a speech at his party's public meeting died of a heart attack on 6 June (Milliyet, 1964, 6 January). The AP Central Council of Representatives, which convened after this sudden

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loss, required a deputy chairman in accordance with Article 37 of the party charter (Adalet Partisi Tüzüğü, 1961, p. 14; Güler, 2003, p. 65). In the party, the pointer was in favor of Süleyman Demirel. A delegation acting in this direction, including Sadettin Bilgiç, Mehmet Turgut, Ferruh Bozbeyli, İdris Yamantürk and Cevat Önder, forwarded this offer to Demirel, but received a negative response from him. Thereupon, the Council of Representatives appointed Sadettin Bilgiç, the minister of organizational affairs, as deputy chairman until the national convention (Bilgiç, 1988, p. 126).

## 1. Developments Before the Convention

With the sudden death of Gümüşpala, the party entered the convention process. Sadettin Bilgiç was the first to announce candidacy for the leadership. Bilgiç held a press conference in the parliament, stated that he became a candidate upon the request of his friends and expressed his belief that a civil and democratic race would take place (Yeni Tanin, 1964, 2 November). However, behind Bilgiç's announcement of candidacy, the "secret" competition with Süleyman Demirel was effective. The Reconciliation Commission, which was formed when both names did not step back for the leadership candidacy, requested that the provincial and district chairmen resolve the situation (Hürriyet, 1964, 3 November) and a letter was sent to the provincial chairmen and deputies asking them to determine the candidate they wish to see as the president. According to Mehmet Turgut's statement, the candidate that received less votes would withdraw from the race (M. Turgut, 1993, p. 264). While 14 of the replies pointed at Sadettin Bilgiç and 10 of them pointed at Demirel, there were 2 abstaining votes along with 2 unanswered letters. According to Bilgiç and Mehmet Turgut, the ones who left the letters unanswered did so, because they had reasoned that Demirel would not accept it if he did not get the result he wanted (Bilgiç, 1988, pp. 128-130; M. Turgut, 1993, p. 265).

After Bilgiç, former Air Force commander Tekin Arıburun, following him, Ali Fuat Başgil, who was in Switzerland at the time, announced their candidacy (Hürriyet, 1964, 3 November). İhsan Sabri Çağlayangil and Seyfi Kurtcebe were also mentioned for the leadership (Komsuoğlu, 2008, p. 127). In other words, important names of the party would compete in the 2nd National Convention of the AP.

In the meantime, a group of APs' "favorite" Süleyman Demirel insisted on not declaring his candidacy, in statements like "*There is more time*" (H. Turgut, 1992, p. 221) and "*I'm a little confused. We need to think a little more*" (M. Turgut, 1993, p. 287). Among the hesitations of Demirel was the point that he was still not sure of the democratic order. Demirel's unwillingness to be perceived as "*the man of a group*" was also effective in

this decision. According to Komsuoğlu, he was right, because in the party where he was not a part of the establishment process, “*sharing power with a team that is not his own at first, would also mean sharing the management.*” In addition, he may have wanted to see the support of the circles that dominated politics (Komsuoğlu, 2008, p. 128-129). However, as a result of the “changing conditions” he issued a declaration<sup>2</sup> which could be taken as an announcement of his candidacy (Milliyet, 1964, 7 November; Yeni Tanin, 1964, 7 November; Hürriyet, 1964, 7 November). Demirel used an embracing language and refrained from a discourse that would “provoke” his rivals. Demirel also prepared a brochure titled “Why am I a candidate?” in which he emphasized the “*cause*”, stating “*According to me it is the cause that matters, not the persons*” (Komsuoğlu, 2008, p.130).

In the meantime, because Demirel’s official candidacy did not have the desired effect in provincial congresses, a “landing” in Anatolia had taken place to convince Bilgiç’s delegates and to increase the recognition of Demirel (Komsuoğlu, 2008, p. 133). Demirel supporters also believed that they would come to power in the general elections to be held soon and that Demirel was suitable for the prime ministry. Some believe that Demirel’s “*modern politician*” identity was also effective (Komsuoğlu, 2008, pp. 133-134). However, Mehmet Turgut, an “*extremist*” who supported Demirel at the time said that this group did not know the bureaucracy well and “*overrated*” even a general directorate’s office (M. Turgut, 1993, p. 285). Demirel’s “*state experience*” was also an important factor (M. Turgut, 2001, p. 239).

In the pre-convention period, different reactions came from different sections concerning the competition of Demirel and Bilgiç. In fact, Bilgiç received a “warning” letter from President Cemal Gürsel in the first week (18 June 1964) of his election as AP Deputy Chairman. According to Bilgiç, Gürsel’s letter stemmed from the concern that the AP, which won 50.3 percent of the votes in the Republican Senate partial renewal elections, would want to bring down the government and form a new government with CKMP, MP and YTP. However, again according to Bilgiç, the AP did not intend to bring down the government at the time, as the parties that could become coalition partners with them would not approach an early election (Bilgiç, 1988, p. 126-127). President Cemal Gürsel’s words to Cihad Baban in a private conversation also show that he had left his identity as a “neutral president: “*(...) If Demirel could become the leader of AP, we can take care of all the problems. I work hard for him to be the leader... If I succeed, I’ll feel more comfortable. An enlightened man won’t*

2 However, according to Ahmet Kahraman, Süleyman Demirel’s AP Leadership “*was called and determined by other forces.*” Kahraman, 1993, p. 57.

*consent to bigotry, and won't become an instrument for the Democrats. He is well travelled. Then you will see that the Justice Party will improve, as well. I will feel at ease"* (Baban, 2009, p. 277).

Another warning to AP came from the Turkish Armed Forces. On 12 November 1964, Chief of General Staff Cevdet Sunay sent a letter to the Speaker of the Grand National Assembly of Turkey upon the words of some members of the AP about İsmet İnönü and some soldiers prior to the 2nd National Convention:

*"(...) As the Head of the Turkish Armed Forces and the General Staff, I am very sorry to see activities separating the nation into two camps that are hostile to each other in an abusive way with great recklessness and irresponsibility in the last days.*

*(...) The greatest evidence of their insincerity and intentional behavior is that they continue to remain in a parliament which they declared the illegitimacy of"* (H. Turgut, 1992, 211-212).

In the face of these statements, which may count against Bilgiç in particular, some allegations have been made against Demirel from various sectors. Büyük Doğu Magazine supported Bilgiç both from the pen of Necip Fazıl Kısakürek himself (Be. De, Adalet Partisi, Büyük Doğu, 1964, 14 October; Büyük Doğu, 1964, 11 November; Büyük Doğu, 25 November 1964), and through articles including accusations towards Demirel. In one of them, Kısakürek said, *"Behind Süleyman Demirel, are all the old DP wreckage, majestic press bodies, Mason's influence and suggestions..."* (Aydın, 2004, p. 9). It was also claimed in Büyük Doğu that Demirel was connected to the Ankara Mason Lodge (Büyük Doğu, 1964, 11 November).<sup>3</sup> In addition, it was said that "Mason" Süleyman Demirel, *"could mislead this political party (AP) that was becoming internalized by the soul of the Turk"* (Büyük Doğu, 1964, 18 November). By considering the importance of Büyük Doğu and Necip Fazıl Kısakürek for various sections, the impact of these discourses could better be understood. On one hand, Bilgiç *"represented a revanchist attitude towards May 27"* (Bora, 2005, p. 550). While on the other hand, Demirel came to the forefront as a *"Westernist"* name, less problematic with the system established by the military and supported by the moderates, the liberals and business circles (Bilgiç, 1988, p. 156).

<sup>3</sup> Moreover, in one of its issues, along with what is being said about Freemasonry and targeting religious and national values, the magazine gave a list of the names that were claimed to be Mason titled as "Only a Few of the Famous Turkish (!) Masons", and the list included Süleyman Demirel. Büyük Doğu, 1964, 25 November, Issue:9, p. 4-5.

Meanwhile, Sadettin Bilgiç stated that a campaign against him was being conducted during this period. Bilgiç claimed that the press had been mobilized and headlines such as “*King of Dams*” (Hürriyet, 1964, November 5)<sup>4</sup> were written in order to support Demirel. He further commented that on the night of the elections 158 DP deputies “*wandered from one hotel to another*” in groups of 15, saying “*We brought greetings from Mr. Bayar. If you vote for Sadettin Bilgiç, the military will not let AP to be in power, even if he had won the election. Do not play with our political and personal future*”. He further claimed that in a meeting held at Ankara deputy Turgut Cebe’s house, Demirel had told some deputies of MBK background that “*the political rights of the Democratic Party could be suspended by him and that he was engaged in the issue of the return of political rights*” (Bilgiç, 1988, pp. 134, 136). Bilgiç also stated that his failure of giving a good speech during the Cyprus talks in the Grand National Assembly of Turkey (TBMM) a few months before the convention had been used against him during this period (Birand-Dündar and Çaplı, 2000, p. 123).

## 2. The Convention and the Developments to Follow

It was finally the time for the National Convention where four candidates would compete to become the leader of AP. It was clear that the race would take place between Süleyman Demirel and Sadettin Bilgiç. Demirel issued a message before the convention (Hürriyet, 1964, 27 November) wishing it to be auspicious for the nation, the country and AP, stating “*We are all at the service of a ‘prosperous and thriving’ Turkey. We are ready to exert every effort to bring peace and prosperity to Turkey within a democratic system of government*” (Milliyet, 1964, 27 November). Meanwhile, Sadettin Bilgiç stated that this would be the last convention of AP in the opposition (Yeni Tanin, 1964, 28 November).

In the convention, the opening speech was made by AP Deputy Chairman Sadettin Bilgiç. In his speech, Bilgiç reiterated that it would be their last convention in the opposition and stated that the problems caused by the current administration had reached a peak, which would lead

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4 Necati Zincirkıran, the Editor-in-Chief of Hürriyet newspaper, asked his reporter Cüneyt Arcayürek to interview Süleyman Demirel. Arcayürek had an interview with Demirel, who did not yet announce his candidacy and had not given an interview to the press, and told him that even if he did not disclose his candidacy, he would be included in the series of articles to be published about the AP leader candidates. Demirel “*did not make a remark*”. It was Necati Zincirkıran that came up with the title “King of Dams” for the piece. While Arcayürek opposed it, saying the title could lead to misunderstandings as Hürriyet “*discovered Demirel*”. Arcayürek, 1985, p.332-334. However, Ahmet Kahraman claims that this title had been discarded on purpose and that Demirel was “*the chosen person with US preference and the approval of the Turkish General Staff*”. Kahraman, 1993, p.57.

AP to come to power in the first elections. Bilgiç argued that the ruling party could not establish democracy in the Western sense and added that a “*stubborn*” statism policy was applied, leading the industry to stall and unemployment to increase. Then, it was decided that the candidates for the leadership would deliver their speeches in order of surnames. Accordingly, Tekin Arıburun, followed by Sadettin Bilgiç and finally Süleyman Demirel would deliver their speeches (Hürriyet, 1964, 28 November). A candidate would have to obtain 951 votes, as the absolute majority, in order to be elected (Milliyet, 1964, 29 November).

Candidates delivered their speeches on the second day of the convention. Sadettin Bilgiç stated that his aim was to establish national will and democracy in the country and declared that they did not want to put aside labor and make liberalism dominant in the economy. They simply believed that private enterprise had a constructive power. He also stated that they knew the needs of the country well and explained that their motto as AP was “*the right to speak to everyone and welfare to everyone*”. He concluded that even if he was not elected, he would always be ready to serve.

Tekin Arıburun came to podium after Bilgiç and stated that the country was in an economic crisis and that they would like to see the Turkish army above all policies. He claimed that social justice was not about taking from the rich and giving it to the poor, it was about making the poor rich; and this had a “*religious*” aspect (Milliyet, 1964, 29 November). The economic policies of both names seem to be similar, in other words, it can be seen that they are both representatives of the legacy of the Democratic Party.

Süleyman Demirel was to give a speech next, as Başgil was not present in the hall (Yeni Tanin, 1964, 29 November). Demirel walked to the podium with unseen applause and his speech was frequently interrupted with the chants “*May Allah prolong your life, long live the president*” and “*Ya, ya, ya, sha, sha, sha Demirel, Demirel long live*”. In his speech Demirel declared that he had become a candidate for the leadership of the party to carry the torch of civilization, prosperity and serenity, and named the service to Turkish homeland a worship. He further remarked that other candidates were also patriotic, competent and virtuous people. Demirel later showed to the delegates a document from the Mason Association (Hürriyet, 1964, 29 November 1964)<sup>5</sup> and said, “*I only appeal to your*

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5 Bilgiç’s team distributed the photocopy of the album page with the members of the Freemasons to the delegates. Kahraman, 1993, p.60.

*conscience which would know what's best. I am not a Mason*" (Yeni Tanin, 1964, 29 November)<sup>6</sup>.

Demirel's urge for making a statement in this direction was a move to eliminate the inconvenience the issue may have created on the base. As aforementioned, N.F.Kısakürek, one of the important figures of the conservative sector, already had effective claims and it would not be wrong to conclude that these claims may have caused this decision. On the other hand, İhsan Sabri Çağlayangil, made a comment on Bilgiç and Demirel's speeches, stating that Demirel's speech made it clear that he would become the new leader (Çağlayangil, 2007, p. 121). Demirel also agreed that his speech was better and that he was likely to receive the votes of the delegates (Birand, Dündar and Çaplı, 2000, p. 125). According to Komşuoğlu, Demirel's positive approach towards his rivals created the image of "*a respectful leader and was indeed an attitude towards the campaign that had been started against him*" (Komşuoğlu, 2008, p. 137). According to Ahmet Kahraman, Demirel "*would keep using the word Allah without giving it a consideration*" (Kahraman, 1993, p. 71). However, the words, "*I thank Allah for granting us this magnificent convention*" that was uttered at the beginning of his speech, was reciprocated with "*Muslim Demirel*" chants in the hall. Thus, Demirel had snatched the "*Muslim card*" away from Bilgiç's hands (Kazdağlı, 1999, p. 121).

Following the speeches, the report of the Fundamental Rights Commission, which included AP's "fundamental views" on political and economic issues, and the accompanying oath were adopted (Hürriyet, 1964, 29 November). This report included a very important statement: "*The relations with General Staff, Ministry of National Defense and Prime Ministry should be rearranged, since the Army is under the command of the government*" (Akşam, 1964, 29 November). The fact that this approach was put forward at a time when traces of the 1960 coup was still felt, indicates that AP did not want to share the same fate with DP. It is also possible to read this as a "brave move" for the period.

The presidential election was held on the third day of the convention. Demirel, who received 1072 out of 1679 votes was elected as the second leader of the Justice Party with an "*overwhelming*" result.<sup>7</sup> Bilgiç received

6 According to journalist Celal Kazdağlı, because of Bilgiç's "*stigmatization with reactionary*" and Demirel's "*drawing of a Kemalist portrait*", Demirel's Freemasonry "*was whispered from ear to ear*." Kazdağlı, 1999, p. 120 In an article that criticized Demirel's efforts to prove that he was not a Mason, it was stated that Demirel's specific effort to prove that he had no ties with Masonry, instead of taking a step to eliminate the existing misperception of Masonry in Turkey was wrong. Editorial, Kolay Adam Yıpratmak Hastalığı, Milliyet, 1964, 2 December.

7 For the first time in Turkey, the leader of a political party has changed with an election. Milliyet, 1964, 30 November.

552 votes (Milliyet, 1964, 30 November), while Arıburun received 39 and Başgil 6 votes<sup>8</sup>. 10 ballots were empty.

The change that started with Demirel continued with the regeneration of the upper organs of the party. Only few of the “*extremists*” were able to join the party’s central boards, hence Bilgiç supporters suffered loss of influence. Most of their duties were now shared among the “*moderates*”. In the General Administrative Council, the executive body of the party, more than half of the memberships passed to the moderate APs. Somehow, Sadettin Bilgiç was also neutralized by Demirel after this convention. He lost the vice presidential and organizational presidential elections held in the Central House of Representatives and Osman Turan, a moderate, was elected in his place. On the other hand, after his election to the leadership, Demirel once again emphasized the necessity of in-party democracy and said, “*Justice Party does not follow a policy that belongs to a person, a leader or a group, it follows a policy that is a reflection of all its ranks*”, causing a contradiction (Güler, 2003, p. 66).

Metin Toker, the editor-in-chief of Akis magazine known to be close to CHP, made an assessment of the new names in the party, claiming that close to no innovation took place in AP:

*“The people who chose Demirel as the leader, preferred Melâhat Gediks, Cevat Önders or the famous Ali Bozdoğanoglus as his colleagues, which is a sign that AP does not want to make any sacrifices. This would benefit neither Demirel nor AP or the regime. ‘The National Democracy Day’ would not last for long”* (Toker, Oyunun Böylesine Can Kurban, Akis, 1964, 4 December).

Despite their differences in political approach, in Büyük Doğu, just like in Akis, statements were made against Demirel before and after the election. Büyük Doğu, which openly supported Bilgiç in the election period, commented on the future of Demirel and the AP: “*Süleyman Demirel is a (Mason); there is no sharp Muslim yeast in his dough like Sadetting Bilgiç and, using this exquisite opportunity Allah has given him, he may lead this party that has entered the soul of the Turk astray*” (Büyük Doğu, 1964, 18 December). However, in an editorial published in the Milliyet newspaper, it was stated that the positive common attitude of the press influenced Demirel’s victory, and that the “*moderate*” attitude that Demirel had since the day he entered politics was also effective (Editorial, Demirel’in Seçilmesinin Taşdığı Anlam, Milliyet, 1964, 30 November). Ahmet Emin Yalman stated that the support of two thirds of the members of

<sup>8</sup> However, Başgil who had applied with a letter, did not attend the convention. Komşuoğlu, 2008, p.136.

the congress showed that they “*violently opposed extremism and bigotry*” (Yalman, Siyasi Sahneye Çıkan Demirel, Milliyet, 1964, 4 December).

AP politician Mehmet Turgut, who supported Süleyman Demirel in those days, wrote in his memoirs that he “regretted” supporting Demirel and that “*Demirel’s heart was not set on AP, he neither pulled his weight nor broke a sweat*” (M. Turgut, 1993, p. 252).

Süleyman Demirel received his very first invitation from the summit of the state. President Cemal Gürsel hosted Demirel and some of the members of the AP Administrative Board at the Çankaya Presidential Palace. In his speech to the AP members, Gürsel said, “*You have made a convention that did not allow insidious forces waiting in ambush. I congratulate you. You will play a role in the establishment of democracy in this country*” (Akşam, 1964, 1 December). Demirel, stated his commitment to the democratic regime and added that AP would make every effort to establish the regime. Afterwards, he stated that good relations should be established between the political parties and that their leaders had the responsibility in this matter (Hürriyet, 1964, 2 December). Demirel gave the signals that he would not follow an extreme policy with these words in this first meeting. According to Ahmet Emin Yalman, “*there was no need for military intervention*” after Demirel’s election (Yalman, Siyasi Sahneye Çıkan ‘Demirel’, Milliyet, 1964, 4 December). These words clearly indicate that the opposition party was expecting a coup over the leadership election. Because the prediction of the overwhelming majority was that the AP would come to power in the first general elections. Therefore, it is understood that a government with Sadettin Bilgiç as the Prime Minister was or would already be billed.

## CONCLUSION

After the military coup of 27 May 1960, approximately 8 months after political activities were allowed to take place, Justice Party (AP) was established under the leadership of Ragıp Gümüşpala, a retired soldier. The new party has defined a political approach on the Democratic Party (DP) line. In 1961, it managed to become a coalition partner in the first general elections. However, main changes took place in the party after its leader Ragıp Gümüşpala’s sudden death in 1964. The AP administration decided to have a convention for the election of a new leader. This decision is also important because for the first time in the history of the Republic, a party leader would be elected in a political convention. Four names announced their candidacy prior the convention. Two of these names, Süleyman Demirel and Sadettin Bilgiç, came to the fore.

Bilgiç, one of the candidates, had a more conservative attitude, while Demirel was closer to the West and attracted the attention of some circles with his attitude that would not disturb the army. The support given by the press was also very decisive and he was “polished” by the press. The 40-year-old engineer, whose election had many reasons, was especially regarded as the prime minister of the future. In addition, Demirel was elected both for his joe public aspect and his “modern image”. Naturally, his conservative rhetoric, along with his secular looks allured both sections. The army’s support of Süleyman Demirel was an extremely important factor in the election. Intervening in the election of a party leader can also be read as “backing up” the prime minister of the future. This shows that at the beginning of his political journey an antidemocratic support was given to Süleyman Demirel, who would have to leave his duty twice due to military interventions in the future. However, the most challenging issues that Demirel faced were his departure from the AP in 1963 and the claims that he was a Mason. In fact, he felt the need to show a document from the Mason Association to the delegates in the convention to prove that he was not a Mason.

As a result, Süleyman Demirel, whom Adnan Menderes said would be the prime minister of the future, came to power alone in the first general elections he entered in 1965 and achieved significant success. Of course, coming to power was not solely related with his personal activities, as the AP had received 50.3 percent of the votes in the partial Senate renewal elections which was the harbinger of the “future” power. Perhaps, Süleyman Demirel, who is called the “black box of the Republic” by some (Donat, 2005), and who would have a long political life that no one, including himself, would have predicted, had a political journey that would reach its summit in 1993 at Çankaya Presidential Palace and it all began with the 1964 AP convention.

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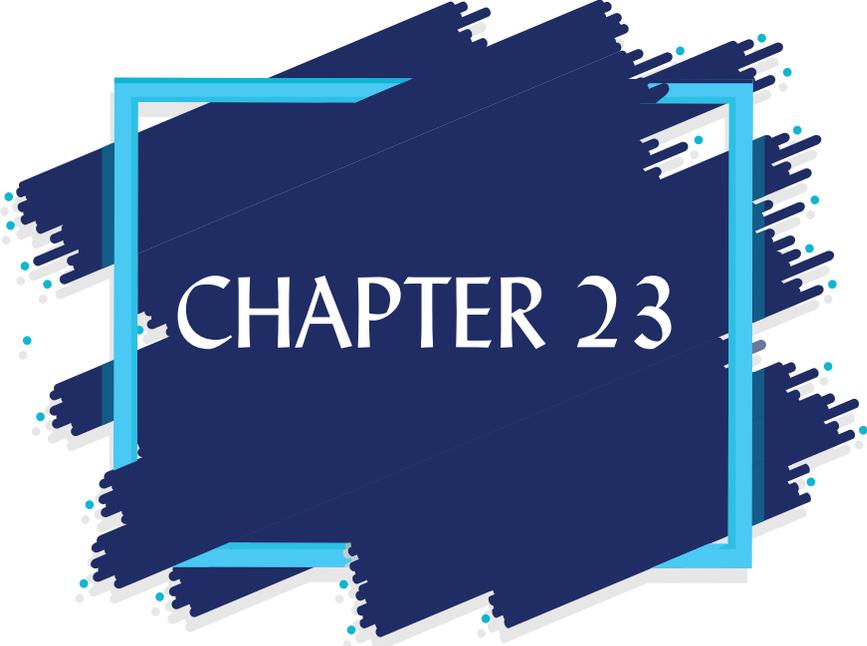
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# ROLE OF SOCIAL MEDIA IN PROMOTION AND BRANDING; EXAMPLES FROM SEVERAL CITIES

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## CHAPTER 23

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1 Doç.Dr. Selçuk Üniversitesi, Turizm Fakültesi Turizm İşletmeciliği Bölümü

2 Arş.Gör.Dr., Selçuk Üniversitesi, Turizm Fakültesi Turizm İşletmeciliği Bölümü

3 Selçuk Üniversitesi, Turizm Fakültesi Turizm İşletmeciliği Bölümü Doktora Öğrencisi





## ROLE OF SOCIAL MEDIA IN PROMOTION AND BRANDING; EXAMPLES FROM SEVERAL CITIES

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### INTRODUCTION

Tourism is defined as a social phenomenon that focuses on the movement of individuals from their temporary residence to other places that are chosen as tourist destinations (Chang and Katrichis, 2016,791).

Chang and Katrichis (2016) also define marketing as an administrative process that encompasses all customer needs and examines their expectations for specific profit. Tourism activities are understood from a marketing point of view as effective participation of the brand with the customer. Therefore, tourism product manufacturers must produce their leisure and tourism services in a way that is compatible with the expectations of the customers and in line with the tourism market. In addition, the tourism programs provided by the service providers must meet the expectations of the tourists and their needs, achieve profits and enhance the loyalty of the Day to visit the tourist place again (Chang and Katrichis, 2016,791).

Recently, increased domestic revenues and the need for tourism and entertainment and the opening of global tourist villages, so the importance of domestic tourism as an outlet for many people and benefit from the goods and services provided tourism, tourism is effective and vital for all people to break the daily routine boring (Carvalho and Costa, 2011,23).

A prerequisite for the success and growth of the tourism movement is to create a perfect harmony between tourists, locals and the tourist destination area and create good relationships with organizations (Zhang, Inbakaran and Jackson, 2006,182). The success of the tourist destination depends on the behavior of the indigenous people of the region, good dealing with the tourists and the provision of all the conditions of hospitality (Wall & Mathieson, 2006:9). There are a lot of problems related to the origin of the region and the tourists coming to it, which is a change in customs and traditions inherited from them in addition to wasting the natural environment and the use of tourism services in the interest of the public tourist area (Sharpley, 2014,37). Moreover, as Andriotis and Vaughan (2003) observe, the imagination of every citizen of the local people that any tourist activity is held in their region is of financial benefit to them and

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all the money obtained from this activity or tourism investment is their own property and this brings them complete satisfaction and acceptance of these tourist activities; (Andriotis and Vaughan, 2003,172) refer to as a 'happy host',(Snaith and Haley, 1999,595) The hospitality of the host with tourists is a fundamental and essential part of the success of any tourism investment in the region and strengthens the good relationship between tourists and local residents (Jurowski and Gursoy, 2004,296). Believes that tourism should make great profits for the tourist area and achieve the greatest benefit for the local people, otherwise this investment will end in failure, which leads to the deterioration of the tourism sector as a whole(Lawson, Williams, Young, and Cossens, 1998,247) .

## **1. DESTINATION**

The tourist destination represents a specific geographical framework and provides all basic and supplementary services for current and prospective tourists according to studies of tourists' expectations and needs. Meeting these needs is an important factor for the success of the tourist destination (Mwinuka, 2017,1).

### **1.1.Destination Image**

Many academic studies have focused on the tourist image of the tourist destination and have focused mainly on human behavior, which depends largely on the tourist image (Frochot and Batat, 2013,113).

The concept of the relationship between the tourism movement and the media in all its forms is created in the tourist's imagination, and it creates a mental image of the tourism activities promoted by the various media. Where there are close links and a strong relationship with regard to tourism, which is linked to daily work in exchange for roaming and travel, in the work is a person needs to move and change the reality that lives and break the barrier boredom and exit into an unusual environment and this can only be achieved by travel and tourism. Hence the importance of the broad imagination of tourists in the presentation of clear points on the development of tourism movement to the destination of tourism (Crouch, Jackson and Thompson, 2005, 14).

Kotler et al. (1993) state that the image of the tourist destination as a collection of symbols and values that represent the tourist area and the good behavior enjoyed by the local population It is possible to refer to the means of evaluating the image of the tourist destination towards a specific category and market target. The most prominent of these means the use

of questionnaires and know people's views and perceptions as well as the means of interviews and focus (Avraham and Ketter, 2015,337).

### **1.2.Destination Promotion**

From the precise definitions of destination promotion, it focuses on marketing advertising mainly for the targeted segment of people and providing them with all the information and pictures about the destination area of tourism (Avraham and Ketter, 2015,337).

The promotion is defined as the total operations and means to inform potential tourists of the tourist product service scheduled to visit according to the tourist program and using all social media and condensation of ads before the implementation of the tourism program (Office, 2012, 5).

It can also be defined as combining different elements such as personal selling, promotion of sales, use of strong advertising, public relations and direct marketing (Borden, 1984). In addition, communication in the strategic marketing process includes clear elements such as providing data and information to tourists and then convince them to choose and use these services and then push them and motivate them to make a decision and visit the tourist area (Lovelock and Wright, 2002). There are four elements known to achieve the activities of the promotional process namely advertising, sales, personal selling and advertising and have a strong impact on the behavior and passion of the customer and make a purchase decision, and would like to be clear communications messages about the service provided and to be announced by all means of different ages and focus on the target markets (Munusamy and Hoo, 2008). The various means of advertising for tourism services include television, radio, internet, press and others.

## **2. SOCIAL MEDIA**

The means of information in all its forms are an important means on which marketing science is based in our time. The tourism service depends mainly on the successful advertising campaign and continuous coordination, whether it is one-way or two-way, focusing on the target market of current or prospective customers. And contemplating the organizations that benefit by means of social communication that it meets the needs of customers in all the target markets, the means of social communication to promote information for all sectors and the design of messages to these sectors and marketing them effectively and intensification of information communications (ASEAN, 2011).

As we use a new phase of planning a marketing campaign through social media, we focus on understanding and understanding the amount of information that current and prospective customers need about the brand. The organization may offer a strong promotional activity or strong incentive to buy a product and create a customer experience. This type of promotional activity creates a state of general satisfaction for the customer to return once again to the social networking site and attract many customers to the website and we must distinguish between the marketing efforts and the return on investment profits. The general theme of social media activity is to create awareness Strong and relevant to the product and emphasizing the need to establish the brand in the mindset of the customer. The website has a prominent role in achieving the marketing plan through the Internet, there is a positive relationship between the means of social communication and the payment of potential customers and current sites that search for information (ASEAN, 2011).

Tourism services in the internet sites have been growing at an accelerated pace, targeting the tourist potential markets of the tourism sector and choosing tourist sites faster, relying on the natural landscapes found on the internet pages and discovering previous experiences, which led to increasing customer knowledge of the tourist destination and the services provided therein (ASEAN, 2011).

Tourism services provided a prominent point in the tourism marketing plan whether these services are simple or complex such as organizers of tourist trips for the holidays of the week or national or events and the provision of transport and accommodation and food and drink services include 'Tsobq plan' distribution and promotion of tourist destination area. It is worth mentioning that all hotel chains currently have electronic reservation systems in their own locations through which they organize advertising campaigns and advertising to attract tourists, which made them compete strongly with all travel agencies and tour operators (Rävar, 2012).

## **2.1.Role of Social Media in Marketing Tourism**

Marketing tourism and promoting it has changed dramatically in recent years. This change is mostly due to new technology tools that altered the ways to approach a customer. Nowadays a customer's view, opinion, preferences, and choices are more involved in tourism. This was made possible via social media. Social media by time will be the leading marketing tool to be used all over the world.

Tourism plays a prominent and important role in many countries of the world such as the Philippines, Egypt, Greece, the United States, France,

Lebanon, Spain, Israel, Malaysia, Thailand, Australia, Italy and a group of such as Bahamas, Mauritius, Philippines, Seychelles(Wani and Ali, 2013,12).

There are two main elements that are an obstacle to tourism projects before implementation:

(1) Know the comprehensive funding of the project according to a clear scientific study; and

(2) Take good care of the tourist request.

Also, with marketing specialists in tourism organizations, they face a great challenge to the huge obstacles in the marketing of tourism and hospitality services and target their specific markets of existing and prospective customers and attract them to the acquisition of their tourism services and this is a focal point and a great success(Dolli and Pinfold, 1997,38). Therefore, selling and promotion of tourism services is more important than talking about the point of production, so that all the needs of customers can be satisfied and full satisfaction is achieved(Nistoreanu, 2006, 98; Răvar, 2011,93).

There are several important steps to marketing a tourist destination:

1-Focus on target markets

2-Find out the general and specific features of target tourist markets

3-Developing the marketing plan and clarifying its objectives

4-Continually work on creating an advertising campaign that focuses primarily on the target market (Boz, 2012,467).

Tourism marketing will focus on some points:

1-Income represents a value of 5% of the gross national product of public relations in all countries of the world, which indicates the percentage of income paid in return for competing goods and services,

2-Providing jobs in more than 42 sectors related to the tourism sector such as transport sector, airlines, car rental offices, airlines, hospitality facilities, various places of entertainment, entertainment, hiking, shopping facilities (Wani and Ali, 2013,12).

### **3. THE TOURIST IMAGINATION**

Tourism imagination is shaped by tourists through the media within their social media and advertising materials and the creation of a relationship between tourism and the media, in addition to some perceptions about tourism services provided to visitors. This relationship is linked to some aspects of the tourism sector such as routine work in return for going out on the weekend trip, staying at home in exchange for moving to a specific tourist destination, and enjoy travel, trips, entertainment and entertainment, mentally and physically for some of the procedures imposed by daily life cumbersome. The tourist's imagination leads to a link between the expected and the unexpected about the place of tourism and the connection between all different fields (Crouch et al., 2005,1-3).

Tourism marketing focuses on the division of services into group services and individual services. Collective services such as tour operators, travel and tourism agents in relation to holidays and mass trips, and individual services in relation to transport, accommodation, food, drink, etc. (Rävar, 2011,93).

### **4. WHAT IS A SOCIAL MEDIA?**

Social media is known as an interactive process that takes place between individuals as they take information or ideas from virtual sites and networks on the Internet (Benkler, 2006). A wide range of software and applications deployed on the Internet and based on it and rely mainly on the technological basis and aims primarily to share content among users (Gentle, 2012) . The means of social communication at the present time rely mainly on mobile smartphones and their applications and some of the technology based on the Internet and associated with search engines and behind the platforms is very important interaction between people and communities and work creatively in the creation of content and share and modify it as possible, so the technology has caused changes Large and wide-ranging social media, leading to changes in content (Johnson, 2005).

### **5. SOCIAL MEDIA SERVICES AND TOOLS**

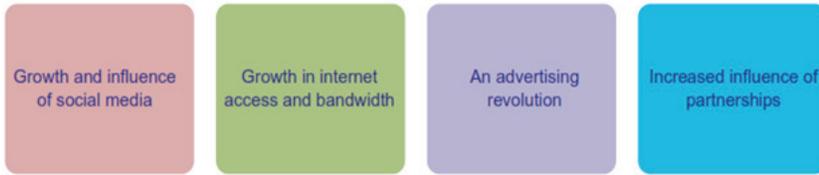
Public relations have been an essential tool in social media. Recent years have shown that a very high percentage of journalists and those interested in media and public relations use social media as the primary and exclusive source of continuous information. Customers and receive inquiries and inquiries related to booking customers from different locations around the world. E-mail is an important means of social communication to get specific information, get a job or employees through social media because

they believe that e-mail response is more formal than any other means, so interaction between social media and individuals is very important in determining The future of these means and we mention here some of these means, such as Instagram and Flickr and others, which in turn lead to emotional reactions to people and interested in illustrations instead of text. US markets are leading the use of Google Plus and their service facilities and services are actively promoting their services and products. The most developed countries are technology that invests social media and earn high returns on investment. Europe is using a wide social communication medium, Facebook, while Instagram and Flickr are specialized in publishing videos and rare and beautiful images about sites (Benea, 2014,1-3).

Here is a list of some forms:

1. Blogs , Wordpress, Blogger, Typepad
2. Content sharing: YouTube, Flickr, photobucket
3. Social networks: MySpace, Facebook, Gather, black planet, eons, linkedin
4. Professional networks: linkedin, Ecademy, Xing
5. Microblogging and presence: Plazes, Twitters, Jaiku
6. Democratic content: Dig
7. Preference sharing: last FM, Wakoopa
8. Branded web destinations: Amazon, Netfl ix, Ebay
9. Corporate sites and their abbreviated symbols: IBM, best buy, cisco, oracle (Boz, 2012,467).

It should be noted that any marketing efforts by tourist companies must take into account the positive impact of the tourism area and benefit them from these activities in which they are kept away from the old marketing methods such as trade fairs, newspaper advertisements, newspapers and other old methods that do not appeal For the client, look for new policies in marketing and effective promotion (ASEAN, 2011,1-88).



**Figure 1:** *Emerging Trends in Marketing, Advertising and Distribution*

In Marketing Plans With regard to the marketing budget, Internet marketing needs a high cost to provide a competitive advantage. The fact that e-marketing is highly effective in marketing science, and that most of the tourists' concerns are based on marketing on the internet and the benefits it offers them. This requires market research that meets the aspirations of tourists, emphasizing responsibility and sustainability in product development and the type of marketing strategy to be implemented (ASEAN, 2011, ; Boz, 2012).

## 6. AN ADVERTISING REVOLUTION

Late studies have shown that more than two billion people use the Internet worldwide, or 30 percent of the world's population and studies show that mobile phone subscriptions exceeded five billion dollars, which contributed to the ease of access to information very quickly due to advanced technology, Specialists Marketing communications and e-marketing play an important role in marketing strategies. Internet marketing generates high profits and creates strong competition (ASEAN, 2011,12).

In ASAEN (2011) Social media has contributed to showing Internet marketing with a high level of accuracy in presenting information and fictitious profits and targeting the largest segments of the international community in all sectors and services is discussed.

An article published in Fast Company (December, 2010) states that advertising has become an integrated revolution in the marketing process, and is likely to be advertising in the future activity does not pay for any price. In the past, advertising campaigns were a wide range of print media, such as newspapers, magazines and television advertising materials. Today, the digital age has spread in many different and fast-paced areas. It does not require artists in advertising. Microsoft, IBM, and Google Design campaigns through the computer and using high-precision design programs and achieve the best goals for the advertising campaign with great success. In order to develop targeted markets and gain a suitable profit, appropriate

marketing paths must be developed to meet all customer needs via the Internet (ASEAN, 2011,14).

## **7.GROWTH AND INFLUENCE OF SOCIAL MEDIA:**

It should be noted to the reader that the most difficult stage in the marketing of promotional activities is the promotion phase of the various marketing services and products because these products bear in themselves a great complexity through the perceptions and expectations of different customers, for example the policy of promoting a tourist area or place note that this tourist product has various components marketing mix Such as service strategy, reasonable price, distribution and promotion according to difficult implementation stages, perhaps the most important of which is to conduct a comprehensive survey of the tourist market of the destination area and define the objectives of the customers and work to achieve them in a way that suits different tourists (Kotler and Keller, 2006).

The plan adopted for most Americans in using the internet during their lives is as follows:

- 87% of Americans use all search engines to get information in all fields;
- 82% To learn how to handle maps and locations;
- 78% They focus on getting information about a particular product or service and taking advantage of the privileges;
- 70% American participation in social media;
- 66% Use of Americans for travel and bookings in all modes of transport (NC. Cooperation. Extension, 2012).

Hereby, The advantage of the social media as a marketing medium of high value is the cost of distribution, where these destinations spend a lot of money and a lot of attention and this is what distinguishes them from normal destinations and social media plays an important role in the promotion of awareness among the community of tourists to the tourist destination With some constraints that research works to find solutions to them (ASEAN, 2011,1-3).

The role of social media in the marketing process:

- Low cost Most of the links provided to the consumer are free.
- Flexible use and handling of companies and organizations.

-Ease of access to information and use of marketing strategy targeting all segments of society

-The credibility and objectivity of social media is stronger than commercial advertising

-Time and location are not specified, easy access to the sites of sale and purchase and the exercise of marketing with full flexibility (Boz, 2012,469).

## **8. GROWTH IN INTERNET ACCESS AND BANDWIDTH**

Nowadays, Social media have achieved figures in marketing and employment in different age groups and have become part of people's lives (ASEAN, 2011,19) in September 2005, of the 18-29-year-old internet users 16% were social networking site-users; by May 2010, increased to 86%. Similarly, between September 2005 and May 2010, the number of 30-49-year-olds, 50-64-year-olds, and 65+ year-old internet users has risen from 12% to 61%, 7% to 47%, and 5% to 26%, respectively (Bradbury, 2011 ; Henrikson, 2011).

The success of any marketing campaign for the means of social communication depends greatly on activating the role of bilateral interaction between current and potential customers because reliance on existing customers does not allow serious interaction with the target market in general, all the coastal organizations that focus on marketing to social media effectively works Strive to meet the needs of their customers and interest in them and to create target markets and competition and connect with all other service sectors that achieve the welfare of tourists and not isolate these companies from the rest of the other sectors, which contributes to the provision of sufficient information to customers (ASEAN, 2011,20).

In this case ASEAN (2011) defines Social networking as a powerful investment to highlight the brand - the product to consumers, and the networks that follow it through the means of advertising campaigns within the marketing plans of the products of the organizations. The creation of consumer awareness through social media is a sensitive and important point for all companies and marketers. Keep in mind the number of visits to these sites that are interested in providing information to people.

Many organizations are interested in developing a digital distribution system at the local, regional or global levels. The responsibility of maintaining the brand integrity of the tourist destination should be taken into consideration when designing a new distribution system.

This responsibility is the responsibility of the employees in general. The marketing strategy focuses on the design of gateways, internet sites, special interfaces for the site, networking between organizations, mobile devices and cellular phones, and dealing with customers with advanced technology (ASEAN, 2011,18; Milano, Baggio, and Piattelli, 2011,471).

The Internet has become very accessible to the countries and cities of the world and contributed to this great penetration in the Internet that most people deal in their bookings through the Internet and they devote large periods of research through the famous sites and academic in the Internet, so India and China and many developed countries prefer the Internet in Its marketing policies in various sectors and this in turn creates strong and global competition between the different sectors related to the tourism sector (ASEAN, 2011,10). While increasingly relevant utilization of electronic social media is present as tourism practices yet, still a deficiency of empirical research on tourists' creation and use of various types of online content. Empirical evidence is presented on perceived trustworthiness of social media platforms and other Internet-based information (Munar and Jacobsen, 2013,1-4).

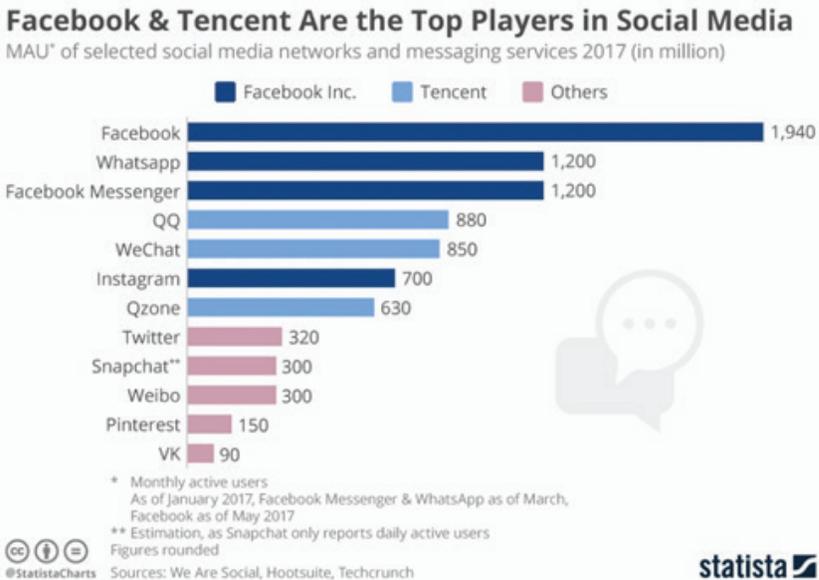


Figure 2: Social Media Popularity in China (Loesche, 2017)

## **9.DIFFERENT FORMS OF SOCIAL MEDIA**

### **9.1.Website:**

The web site has many functions that can be used in a variety of ways. This site may be personal, commercial, governmental, non-governmental or not. For the marketing process, designing a website for all companies and organizations is essential to the successful marketing and promotion of tourism products. Professional staff for quality continuity because the quality control in the marketing strategy process is important and the guarantee must be achieved by the employee they are the last collective responsibility. In a recent European Tourism Commission (ETC), that there are 5 important factors to be aware of during the design of the site are stressed.

-Simply reading and moving;

-Continuous updating of the content and the information contained in it is comprehensive and valuable, and that the trips are quality and visual methods that attract tourists.;

-The site is designed in several languages;

-The site is connected to all social media; and

-Multiple search engines utilize technology search in any topic.

### **9.2. Youtube:**

Is a website that displays various videos in various fields, especially in the tourism sector and highlights the tourist product, the number of videos displayed daily which is more than one billion video, and allows users to live view of the videos that it displays directly, and You do not have to download the video or create a viewing account, It also gives viewers the opportunity to express their opinion on video by admiring it or not, by adding comments on the video they watch, in addition to providing other free services, such as uploading videos or creating a channel on YouTube, but these services require the establishment of an account on YouTube to be able to enjoy. In 2005, the first short video was shown, and the number of consumers in 2009 reached more than 98 million users. YouTube has become an effective marketing tool to connect the tourist sector and all other service sectors with people and provide them with information crisis and some of these sites are not updated continuously (Reinhard, 2009).

### 9.3. Other social media includes:

Facebook is considered as one of the most famous social sites which has the great spread and breadth and addresses the cultural and social aspects of most people in the world, the first appearance of the Facebook was by Visé in 2007 and was a non-personal page. Afterwards the organizations and companies developed to prove their presence through social media and to recognize people (Hönisch and Strack, 2013).

Facebook users reached 175 million users in 2009, and rose to 500 million in 2011, half of whom use Facebook on their mobile phones (Facebook, 2011; Kaplan and Haenlein, 2010,59-68) . While the famous Flickr photo site hit a record high of more than three billion images, surpassing the famous Louvre Museum, which includes three hundred thousand images (Kaplan and Haenlein, 2010,59-68). Recent studies show that Twitter has reached 90 million tweets a day (TechCrunch, 2010). Because of the tremendous evolution of the Internet, the world has changed and the level of people's understanding and understanding of the world has changed. Web pages have been created with very useful content (Lange-Faria and Elliot, 2012,193).

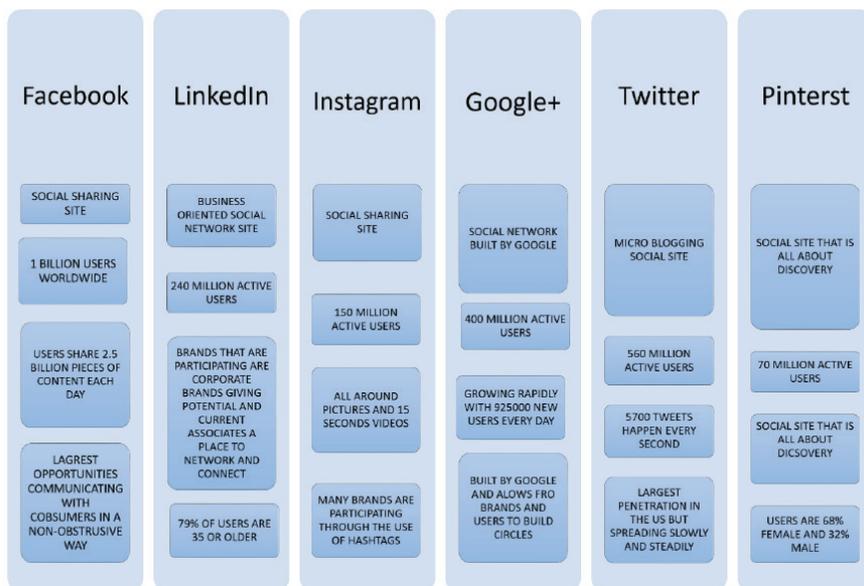


Figure 3: Why social network sites matter? (Kuric, 2016,1-67)

The blog is an application of the Internet. It works through a content management system. In its simplest form, it is a web page that displays dated entries and an ascending chronological order that publishes a specific

number controlled by the blog’s manager or publisher. The system also includes a method for archiving the previous and old inputs. Each input has a specific path that has not changed since entering the system. The reader can return to read the publication again later, as soon as it is available on the first page of the blog while maintaining the links and not deleting them. (NC.Cooperation.Extension, 2012).

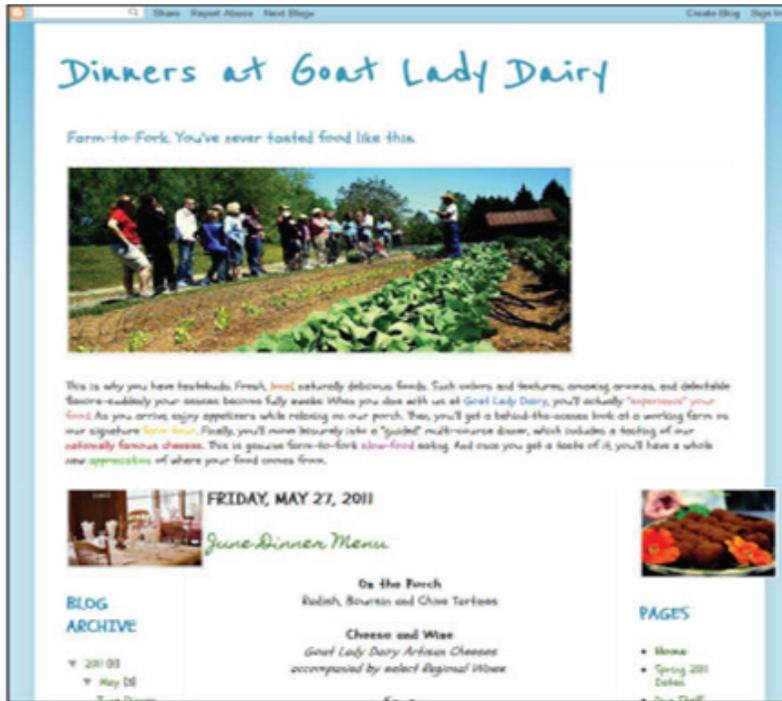


Figure 4: Goat Lady dairy’s blog

-In numbers:

1-Facebook by the Numbers:



Figure 2. Click “Create a Page for a celebrity, band or business” at www.facebook.com to create a Facebook page for your agritourism business.



Figure 5: Facebook

-The number of active users on Facebook is about 800 million users

-A high percentage of Facebook users up to 50% log on to Facebook at different times in one day

-The number of friends to serve the presence of an average of about 130 friends

-Users browse over an average of more than 80 community pages or read events

-The number of Facebook users using their mobile devices is about 350 million users. Source: <https://www.facebook.com/press/info.php?statistics> (visited October 14, 2011) (NC.cooperation.extension, 2012)

## 2-WordPress by the Numbers:



Figure 6: *Cherry grove farm*

-20,623,149 websites hosted by WordPress.com

-301+ million people view more than 2.5 billion Word Press pages each month

-Users produce approximately 500,000 new posts and 400,000 new comments on an average day

-Word Press-hosted blogs are written in more than 120 languages; English accounts for the majority, at 66%

Source: <http://en.wordpress.com/stats>(visited June 9, 2011) (NC.cooperation.extension, 2012)

### 3-Twitter by the Numbers



Figure 6. Twitter page for Sleepy Goat Farm (@SleepyGoatFarm).



Figure 7: Twitter

- Twitter accounts accounted for 106 million accounts
- The number of Twitter users per day is about 300,000
- The number of tweets per day is about 55 million tweets, 640 seconds per second
- The number of questions and queries in the search engine Twitter Per day reached about 600 million queries
- Most female Twitter users are 55% and 45% of them are 18-34 years of age. Most females use Twitter from the Caucasus about 69%, and their university education rate is about 49%

Source: <http://www.onlinemarketing-trends.com/2011/03/twitter-statistics-on-its-5th.html>(visited June 9, 2011) (NC.Cooperation.Extension, 2012)

## 4-YouTube by the Numbers



Figure 8: YouTube

- The number of videos loaded with 35 videos every minute
- The number of videos downloaded in 2010 is about 13 million hours
- More than five million users with at least a channel
- More than four million people are at least involved in a social network
- More than 150% of the total video available
- YouTube's daily watch statistics speak to about 100 million views per day

Source:[http://www.youtube.com/t/press\\_statistics](http://www.youtube.com/t/press_statistics)(visited: June 9, 2011) (NC.Cooperation.Extension, 2012)

## 10. WHY CAN THE SOCIAL MEDIA CAMPAIGNS FAIL?

### 10.1. Your campaign is on the wrong social media platform.

Social media campaigns can be exploded into every platform eg: Facebook, Twitter, LinkedIn, Pinterest, Google+, Tumblr, Instagram. Why can't be clicked? The obvious reason is, moving in too many directions; 'jack of all trades, master of none' (Alonso, 2014).

Researching where competition is focusing on efforts and evaluating which platforms will help you achieve your marketing goals most effectively. For B2Bs, LinkedIn and Twitter are great resources. For B2Cs, Facebook and Pinterest may hold greater value in customer engagement and promotional outreach. Thus fitting messaging and communications

mission to the right social platforms, from campaign rollout — otherwise, you are just tweeting into space and wasting your time.

### **10.2. Having nothing to say.**

A created social media account and decorated with some banners is not enough. Leverage it as a communications tool and consistently share engaging content is required. Therefore, an intern or a member of a marketing team who is already loaded to capacity might as well fail to update it. Social media is day-to-day, even hour-to-hour, responsibility if sharing timely, pertinent and enticing content is a goal. Social media needs a voice, which should be intrinsic to the services, products, and expertise of your business (Alonso, 2014).

An effective blog is one that commands a strategy and a message, leading to social sharing and gains to online reputation management.

Alonso (2014) also states that having a blog, for example, mandates updating it regularly. Companies that update blogging regularly get noticed. Establishing a content strategy for a blog, and presenting a content that tells stories, engages readers and conveys insights that will inform, entertain or help readers in some way is vital. In brief, creating content that is not shareable, then it is no business showing it to anyone in the first place. Blogs are to be shared. Hiring a writer to bring life to the content can be a solution.

### **10.3. Failing to think visually.**

A picture is worth a thousand words. True. Visual content marketing is an enormous part of a social media campaign's success today. Creating infographics may promote services, products or simply react to market trends. Leverage videos, slide shares and unique graphics reflecting a company's business values and services. Social media requires visual content that is shareable, creating an opportunity for a business to convey key marketing messages with rich visual media. Companies creating multiple visual content marketing elements will engage larger audiences - and become social media success (Alonso, 2014).

## **11. RISKS PRESENTED FROM SOCIAL MEDIA MARKETING:**

Is social media to be avoided because of the associated risks? No, all that is required to do is prepare for social media disasters and unpleasant situations in general, handle it well and reap the vast benefits of social

media. Nevertheless, not engaging in social media can become a risk in itself as most companies and brands are being discussed through online social channels. The company must have its voice in these discussions and conversations. There is a great risk that is exercised through social media compared to the dangers of channels of communication classic words of bad people and negative words that most people say in social media (Boz, 2012,467).

## **12. TAKE HOME MESSAGE WHEN MARKETING VIA SOCIAL MEDIA**

1-Know why you are online: Have a clear purpose and objectives, know your target audience and choose the media that will benefit your company the most and customers.

2-Present a complete picture: Clarify who are you, what are you about and what you can do for the visiting customers in your site. Provide snapshots of your business, state your hours, services, directions or contracts clearly.

3-Be active: Success is built over time. Start conversations keep it a two way rather than one way i.e. talk with them not to them.

4-Provide value: Sharing a good content consistently over time you create the opportunity to earn trust. Trust and liking will boot your customers to buy whatever you are marketing. Take the time to develop your image and your message before launching your social media marketing campaign.

5-Build credibility: To maintain customers' trust here are some few ways:

*Consistency:* Consistency in providing information. Regularly updated information to help customers stay current and learn more about it.

*Build relationships in the community:* There are many social media sites that will help you grow your business. This is achieved by building relationships which in turn will provide the customers with more effective and appealing resources.

*High-quality content:* Providing quality information will help .winning the respect of your readers and customers. This will include sharing useful information from your business.

*Interact:* Participate in the online conversations among participants in your site.

*Transparency:* Build your credibility by being honest and explain motivations.

6-Stay informed : Social media is constantly changing with new never-seen – before communication tools introduced regularly (Riese, Pennisi and Major, 2010).

### **13. PROBLEM STATEMENT**

Social media is a very powerful means for the connection, it is characterized by being widely distributed of minimal cost (most are free) and is used by a huge amount of potential customers. This will have a huge impact on marketing promotion branding and advertising. Its role in tourism is vast and increasing over time to time. Yet, it has a bad impact too of destination as well as the previously mentioned benefits. Any sort of news spread on a certain destination due to a crisis or bad service may have a negative impact on the destination and if not managed early at the time may seriously affect the tourism business in that field greatly. This research will try to focus on certain cities dealing with the social media role in promotion in the field of tourism business.

### **14. RESEARCH OBJECTIVES AND QUESTIONS**

-To determine the impact of social media on certain cities in terms of destination promotion.

-To determine the benefits of accessing social media in promotion and branding.

-To determine the negative impact of social media on destinations and how to overcome it.

### **15. OPERATIONAL DEFINITIONS**

*Tourism:* Is a vital activity of an individual or a group of individuals in which tourists travel from one place to another or from one country to another for the purpose of visiting a particular place or places, entertainment or other purposes (UNWTO, 2008).

*Destination:* The tourist destination will reflect the place to visit and enjoy all the tourism services available, taking into consideration the natural and human resources of the area (UNWTO, 2008).

*Product:* Includes goods or services provided by any institutional entity.

*Price:* It is defined as the amount of money paid for a commodity, idea or various services.

*Promotion:* A means of persuasion and publicity for the product to be sold to the customer and encourage the purchase decision.

*Package:* “cooperative promotions and other cooperative marketing efforts by hospitality and travel organizations” (Alastair, 1989,503; Pomeroy, Johnson and Noble, 2009,6).

## **16. RESEARCH METHOD**

The study focused on providing a brief and accurate review of the relationship and the role played by the means of social communication towards tourism destination, promotion, and marketing, and focus on the success of the brand and ways to preserve it.

## **17. RESULTS AND DISCUSSION**

In a study done in Vienna Austria by Benea (2014) many hotels in Vienna do not measure the means of social communication in terms of revenues and costs, but through the participation of customers and their feedback through social media, and does not affect the responses of the followers of the number of bookings, whether positive or negative responses. It is worth mentioning that the owners of hotels in Vienna are working hard to educate their customers, through their brand through the means of social communication and to meet their wishes and work to satisfy them. (Benea, 2014,1-5)

This measurement is done through statistics provided by social networking platforms. If interactive hotels are responsible, this increases the degree of participation through the Internet. The strategy becomes more complex. Hotel owners do not measure the impact of social communication through sharing with customers for the purpose of increasing sales, the importance of having an Internet to reach the largest number of customers and identify their needs and diagnose the service that should be provided to them is measured and understood (Benea, 2014,15).

The candidates emphasized that overuse of these channels can create information overflow, which can be negatively perceived by customers and which can lead to ignorance of the brand, and consequently to a negative image. The social media marketers added that tools should be used, but also attentively supervised as an insignificantly small negative comment can cause significant and irreversible damage to a brand. In regard to the

level of satisfaction with the social media tools and their contribution to the company's goals, the respondents seemed content with the results, but consideration for improved solutions has nevertheless been mentioned. The fact that they do not set measurable goals when considering online communication goals makes it difficult to measure the contribution, but influence can be noticed through the immeasurable goals such as customer satisfaction and brand awareness (Benea, 2014,41-46).

In a study performed in Durban south Africa by E. Madondo (2016); Social media has become very important in the marketing process in the tourism sector and within the strategic plan of the marketing process, tourist organizations should use technology and all means of social communication and benefit from its advantages to promote tourism services and create a globally competitive environment. At present, social media has become one of the most important channels Communication in the tourism sector and all other sectors where tourists use all means of social communication to search for information of the tourist area or access to the service, and to make a decision to buy the right. It is worth mentioning that the elements The promotional mix of tourism work effectively with the means of social communication to promote and support this sector, so social media has become valuable and important in encouraging travel and moving from tourist area to another and using modern methods and methods to promote natural and human resources and rely on tourism marketing strategies (Madondo, 2016,100).

In a study performed in Switzerland by Kuric (2016) The results of this study are the bilateral relationship between the mental image and intention to go to this tourist area, which means that whenever the area of intent is beautiful and promote it strong whenever a positive image is formed in the mind of the tourist about this region and became a visit to the stronger. Social media on the decision to buy the tourist and his intention to visit the region and choose the best tourist places according to the offers available through the social media of pictures and videos and sites through the Internet, and focused on the study that the pictures and videos very emotional and emotional in taking the village The visit to the tourist area promoted, as indicated by (Kuric, 2016,3).

In a study performed in Lisbon by V. C .Seabra (2013) This study shows that visitors tend to use the means of social communication during the decision to buy a tourist trip depends mainly on the good reputation of this tourist area and the extent of circulation of photos and videos of this region in the social media and sometimes focuses on travelers comments and satisfaction of people and tourists from this region and benefit from Experiences of former travelers. The point of interest of the respondents in

this study is the functional benefit of the ability to collect information about the tourist area using all means of social communication with ease and ease, although some do not see that all the information contained in social networking sites is true, but that the vast majority of people And travelers to know the purpose of the purpose around the tourist area and have an initial impression of the tourists from the area to be visited, when planning the trip by the traveler the most reliable confidence is the use of social media from the site of the company organized the tour. In other words, there are travelers who have a crisis of confidence between the use of different social media and access to information about the tourist destination to visit, but some sites have high confidence such as Facebook and Lonely and others. Note that friends and families play an important role in choosing a tourist place. The study showed that the social media is the important factor in planning the tourist trip, then comes the accommodation and the accommodation of the tourists in second place in the importance followed by comments on the pictures and videos of the social media. The negative comments have a role in changing the mood of the tourist in making the travel decision (Seabra, 2013,8).

In a study done in India by V. Senthil (2016) reported that the growth of Indian tourism business is influenced by the social media interactions where the Indian Destination marketing organizations are slower in adapting the social media in their business. The social media adaptation is very high in European tourism sectors and also has separate team strategies to attract more tourists. Social media interactions are helpful to tourists and provide better business to Indian tourism (Senthil, 2016,53)

## **18. CONCLUSION AND SUGGESTIONS**

Social media is increasingly being a very useful method of promotion to tourism. It provides interactive communications among costumers and providers and even among costumers themselves. It is less costly and widely spread yet still needs constant updating and variations in services. There are conditions to ensure effective social media role in marketing. There are risks too when depending on social media of marketing.

The Internet has covered many areas of the world. We are connected to the Internet in the context of social communication in all of our business and travel. The great progress in social communication in many tourism institutions such as airlines, reservations, travel, and tourism offices, dealing directly with tourists in a short span of and time, effort, Compared to traditional means of communication. Tourists use the pages of fans on social networking platforms to influence all families and friends to travel somewhere and to make use of the suggestions posted on the network

recommended by friends. Moreover, social media is widely promoting the choice of tourist destinations, with one in three people choosing their holidays and destinations on public holidays through social media. The social networking site designer provides strong characteristics for tourists such as: expressing their views about the tourist service provided or about the destination area visited. This feature is one of the most powerful features of the social networking platforms and benefits from the observations made by tourists. To conclude, increasing the number of users of social media is the first goal of the tourism organizations and their interaction on their pages on the Internet.

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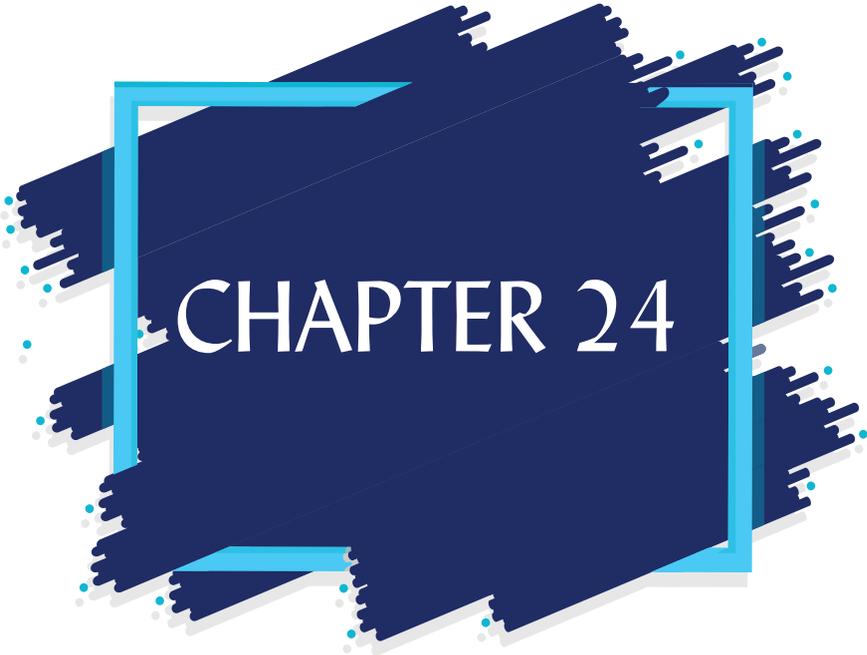
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# CURRENT MARKETING METHODS: ANALYSIS OF DIMENSIONS AND APPLICATION STRATEGIES OF NICHE MARKETING CONCEPT

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## CHAPTER 24

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## **CURRENT MARKETING METHODS: ANALYSIS OF DIMENSIONS AND APPLICATION STRATEGIES OF NICHE MARKETING CONCEPT**

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### **INTRODUCTION**

In parallel with the continuous development of communication channels and environments, a period of new marketing paradigms emerges. Today, it is a fact that almost everything is based on marketing. Marketing management professionals of the company or brands; While trying to fulfill many functions such as promotion, announcement, distribution and sale of its products; With the emergence of new marketing techniques and orientations, high customer access costs but increasing customer expectations and employing the expert intellectual capital in the marketing and sales staffs, the company and its brands are forced to produce creative solutions in terms of marketing communication and strategies. It is up to the marketing strategies that the companies manage these processes and make the sales function continuous by making a name in the market. Accordingly, marketing is vital for businesses or brands. When the processes covered by marketing from past to present are examined; the marketing and marketing communications sectors are recognized as the fastest changing sectors in the world. There is no doubt that this is no surprise in an intense competitive environment where customer demands and expectations are constantly changing and increasing rapidly. In today's conditions where relations with customers are of such importance, in order to ensure good relations with customers to be permanent, that is to ensure customer satisfaction and thus customer loyalty; market trends and developments, customers 'expectations, customers' needs to determine the needs and customer-oriented marketing and communication approach should be adopted.

With globalization, the growth in economies, international competition, which has increased in severity, and the unprecedented speed and content of mature world markets, force the companies to reconsider their marketing strategies in international markets in terms of individual expectations and social values of the target audience or target markets in the long term. Especially when the uncertainty that arises from the rapid change in the competition in international markets is added, it is clear that businesses operating in global markets have no choice but to be market-oriented.

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Being able to operate in the markets that are effective in the global economy in the competition experienced in global marketing is one of the main conditions for minimizing possible losses in negative developments and being a global company (Erem et al., 2003: 1-2).

In the simplest form, the concept of marketing, which can be defined as the process of meeting customer needs and meeting these needs with the solutions, products and approaches, is an area that has received much attention both in the academic and business world in recent years. Especially after the 90s, globalization and increasing global competition and the strengthening of the customer's throne after the economic crises have changed the company's perspective on marketing.

All over the world, from the beginning of the 20th century to the present period, social, cultural, commercial and economic areas are experiencing rapid and significant changes and transformations. These changes in all areas were primarily marketing-oriented. The main reasons for the change in marketing understanding are developments in information and communication technologies, developments in information techniques, changes in consumer behavior and changes in demand. While consumers try to satisfy their desires and needs at the highest level with increasing welfare levels, mass products have failed to meet this demand. Therefore, it is aimed to develop and offer special products and services aimed at satisfying the needs and needs of the consumers at the highest level, and accordingly, niche marketing has entered the agenda of the enterprises. Niche marketing can be considered as a marketing concept based on the logic of specialization in a subject. The niche marketing approach, which initially seemed to be a marketing strategy adopted mostly by small-scale enterprises, encompassed large-scale firms and brands over time and increased its influence and prevalence. Niche marketing applications; it can be considered as a marketing and sales tactic focusing on small segments of the target audience in the market that other companies do not potentially see, care or realize.

The study consists of two parts. In the first part, the conceptual and practical summaries of current and modern marketing approaches and strategies are mentioned. In the second part, from these new approaches, a new dimension in marketing; The concept of niche marketing, which includes the presentation of products produced for specific and unmet requirements, to specific / limited market (s), has been conceptually examined, the definition, scope, objectives and necessity have been emphasized and detailed as a marketing communication application.

## 1. New Approaches and Applications in Marketing

The studies in the field of marketing have been under the influence of the marketing mix and marketing management since the 1960s. In this period, the main purpose of the traditional marketing approach, which focuses on consumer goods and consumer markets, has been to reach the optimum marketing mix (Armutlu, 2006: 3). Creating the best product, price, distribution and promotion mix is the main purpose of traditional marketing. The most important element that constitutes the core knowledge of the change in marketing is traditionally a business-oriented approach, while the new marketing approach is dominated by a customer-oriented approach. According to this, there are differences between the two approaches in terms of business conduct. In traditional marketing, it is known that customer behaviors, characteristics and purchasing history are ignored because it is aimed to maximize transactions and profit by selling to more people. In the traditional marketing concept (production / product and sales concept) until the new marketing concept, the customer has always been ignored and remained in the foreground (Bayuk, 2005: 30).

Increased competition has changed the marketing process along with the organizational structure. The purpose of marketing, the needs of the customer starting to identify, to produce the most appropriate product to the customer's wishes to offer to customers and thus changed to make a profit (Kotler, 2000: 16). This approach is no longer sufficient. The most appropriate product, the most appropriate time, the most appropriate location and the customer wants to offer the channel and channel can determine the buying behavior.

In new marketing methods, brands or businesses use techniques such as collecting, storing, processing and distributing data and information about their customers. This process is done with technology. Businesses, by gathering information in a database, to reveal the customer segments, segmentation and marketing strategies and strategies to reach which group of customers should perform functions such as making plans (Coban, 2005: 300-301).

When the field of application and literature are evaluated in relation to new approaches in marketing, many concepts have emerged regarding the functionality of marketing activity. In this context, there are various approaches under different names. Highlights include; one-on-one marketing, permission marketing, customer-oriented marketing, adaptive marketing, micro marketing, relationship marketing, mass customization, event marketing, viral marketing, database marketing, word of mouth, etc. countable. The common basis of all these concepts, which can be expressed

as marketing techniques, is that they are market and customer oriented. In all of these concepts, the notion that marketing should be customer/consumer oriented. The reason for the difference between the approaches lies in how customer-oriented behavior should be applied. The following is an overview of the trends/practices that have emerged as market and customer-oriented and are becoming increasingly important in marketing.

### **1.1. Database Marketing**

Especially developments in information and communication technologies affect all business activities, especially marketing. With the use of computers and other digital tools in the business, it has been possible to collect, analyze and analyze specific marketing communication actions for a large number of customers. With this information, customer databases created the concept of database marketing as a basic system and method that enables the acquisition of new customers, creating loyal customers by establishing long-term and mutual relations with the acquired customers and ultimately the implementation of strategies aimed at continuous sales.

The emergence of database marketing depends on two main elements: increasing the power of information as a marketing tool and focusing on the customer as a business strategy (Tapp, 1998: 26). Database marketing has become a very important strategy in identifying customers and products and choosing distributors. Personal customer relationship marketing is possible thanks to information technology (Davis, 1997: 31). Database marketing; It consists of the data and information files which are the cornerstones of the seller to establish a one-to-one relationship with the customer and must be prepared individually for the customers and to expand the target audience of the company, to increase their needs, to establish customer relations, all communication and commercial relations in electronic database, to establish a continuous relationship with them. is an effective marketing approach that leads them to develop all future relationships and more realistic planning in all marketing '(O'Connor and Galvin, 2001: 87). The most important aspect of using database marketing is that it takes relationships with customers to a personal level (Orenstein, 1999: 34), increases the level of database marketing services, creates loyal customers, and cuts advertising expenses and turns the prospective customer into a real customer and a real customer as a loyal friend. (Segel, 2008: 341).

Database marketing is directly linked to relationship marketing. Businesses demonstrate a relational marketing approach by creating a database of customers for an efficient customer relationship. In general, database marketing can be described as the storage of data about customers.

This database contains useful information about customers such as the customer's name, address, shopping habits (Schoenbachler at al., 1997: 5). Database marketing is an important marketing strategy which is widely applied by big companies today.

## 1.2. Relational Marketing

Relationship marketing is a new marketing strategy found under modern marketing, as old as thought but conceptually developed in recent years. The aim of relationship marketing is to maximize the exchange of information between companies and customers. In order to achieve this intensity, mutual goodwill should be felt and mutual trust must be ensured. In order to achieve this confidence and goodwill, the company should be in an effort to understand the attitude and behavior of its customers (Gülmez & Kitapçı, 2003: 82). Relationship marketing includes all operational activities, target oriented analysis capabilities, precautionary processes, planning, control and implementation processes within the framework of creating customer value (Bruhn, 202: 11). The aim of relational marketing is; to determine, establish, maintain and increase relations with customers. What is valid in relationship marketing is that all departments within the company work in harmony and thus bring profitability to the company (Grönroos, 1996: 7).

Relationship marketing strives from the traditional marketing theory based on acquiring new customers, as well as acquiring new customers, as well as retaining and retaining existing customers and establishing and maintaining lasting relationships with them. Relationship marketing is also considered as a communication tool used to create brand loyalty in customers. Providing long-term value to customers and providing long-term satisfaction by differentiating the business in the market and achieving its goals by providing customer loyalty, constitutes the basic philosophy of relationship marketing (Tek and Özgül, 2005: 20). Relationship marketing has developed significantly, especially in service marketing. The reason for this is to increase the loyalty of customers in service businesses and to get more orders from existing customers to establish a close relationship with customers (Tek, 1999: 51). According to Zineldin, the scope of relational marketing; "Making customer relations attractive, maintaining and improving" (Zineldin, 2000: 10). With relationship marketing, businesses and brands are transformed from short-term targeted marketing focus to different customer movements, namely sincere customer relations, in order to survive long-term.

### **1.3. Interactive Marketing**

When the literature on interactive marketing is examined, it is seen that it is confused with several concepts that are closely related. Applications such as direct marketing, relational marketing and customer relationship management are the most confused concepts. These concepts often intertwine and lead to concept confusion. Interactive marketing is essentially a type of direct marketing and the concept of interactive marketing; It can also be considered as the direct marketing type in which the target audience to whom the marketing effort is directed can also influence the marketing action. To be able to talk to the customer, to take and record his response, and to evaluate the response, to send him a promotion/marketing/sales-oriented message again and to continue this spiral summarizes the interactive marketing process as a method.

In the marketing communication process of a brand or business, communicative integration based on constant relationship and interaction with customers, manufacturers, intermediaries and other stakeholders and partners is required due to market conditions. The relational approach applied by the enterprises to get closer to their own customers brings out interactive marketing with the support of technology. Interactive marketing is a marketing strategy within the concept of relationship marketing. The interaction between the customer and the company through mutual dialogue constitutes the logic of this marketing strategy (Sheth and Parvatiyar, 1995: 399). The interaction between the customer and the company is born with relationship marketing and advances with the development of technology. Businesses are trying to implement the way of continuous interaction with their customers by using all the tools of technology. With this development of technology, businesses have turned from mass marketing to individual oriented marketing (Gordon, 1998: 37). Businesses send their products and services or marketing messages to their customers via internet and mobile channels which are widely used today. It is foreseen that this application will be extended to the smallest enterprise in the future.

The goal of interactive marketing efforts is to produce products and services that meet customers' wishes, expectations and requirements and deliver them at the right time for customers. In interactive marketing systems, the customer has a certain degree of control over the content of the interaction and can determine the content, format and frequency of the message presented to him. The aim of interactive marketing; not only to send their own product and service information to the customer, but also to evaluate the information obtained previously about the customers and to make them feel how important and valuable the customers are.

## 1.4. Event Marketing

Event marketing is the planning and realization of the organizations that will result in the most effective promotion and sales at the lowest cost (Kim and Chalip, 2005: 696). In terms of product and service marketing, marketing activities with activities other than media are one of the most common applications in recent years. Event marketing practices that activate the product in line with the fact that the watched ones can be forgotten but the moments and experiences will be remembered, continue to develop day by day. Event marketing increases its effect by using the mentioned activities due to cost increase, confusion and fragmentation in traditional marketing and uses the power of one-to-one communication. It is calculated that 22% of the total marketing budget of the brands is spent on sponsorship related to the event (Sneath et al., 2005: 373).

The problems experienced in reaching the target group of the product or service by traditional methods force companies to organize activities. Brand and product or service are much more in mind when marketing activities and marketing of the product or service in this way can be much more effective. One of the most effective methods in product marketing is effective and activity-based marketing techniques that address emotions and marketing practices that are oriented towards consumer sensitivities and enriched with activities are the sine qua non of persistence (Kamei, 2000: 9).

## 1.5. Network Marketing

With the widespread use of the Internet and digital technologies, both consumers / customers and brand and marketing professionals have become aware of the importance of the digital world. Network Marketing, which is a developed type of direct sales, which is seen as a trade system of the 21st century, is a system that allows a person to generate income directly proportional to his own labor. The reason why network marketing comes to the forefront is that it offers equal opportunities to the whole network team, does not require knowledge and experience to get started, and the working hours are determined by the person herself (Bozgül, 2017).

Network marketing (or multi-level marketing) is a way of marketing products by enabling companies instead of their own opportunities. It is one of the most advanced and state-of-the-art commercial systems of the 21st century that companies use to deliver their products directly to customers. It is a marketing system, also called multi-storey marketing, which constantly produces personal achievements and positively affects the way people see life and quality of life. Network marketing is an

improved type of direct sales. Direct selling is a sales method in which a good or service is introduced and marketed by a distributor in a face-to-face relationship with consumers and generally in homes, workplaces and places without retail sales points (Worre, 2013: 21).

Network marketing is a type of direct selling technique based on the logic of advice. This recommendation appears to be more effective than most advertising models. In direct sales, sales are the type of sales made by informing the salesperson of the goods or products in face-to-face homes or offices, that is, not to be considered retail. In network marketing, that is, multi-storey marketing, the salesman earns from both the products he sells individually and the sales coming from the salesman's team (Rezvani et al., 2016: 32-33). The concepts of satisfaction and advice come to the fore as two basic and critical words that make up network marketing. Satisfied consumer recommends the product to its immediate surroundings and as a result continuous demand is achieved.

The consumer who receives advice on any product from its immediate environment will be more likely to receive the product from the consumer who has knowledge of the product through various advertisements and promotions and become more customers. When the companies or brands that apply network marketing widely are examined; Avon, Herbalife, Amway Corporation, Mary Kay, Agel, Biobellinda, Calivita, Dione, Natasha, Nathaniel, Sophie Martin, Red Logo are the prominent brands. When network marketing is analyzed in general, it is understood that the product reaches directly to the customer (without intermediaries), and that intermediaries such as country and regional distributors, distributors, wholesalers do not intervene and it is understood that only the person who makes the product sale has profit from the sale.

Unlike the classic wide-ranging trade in network marketing, it is to ensure that people are organized to generate revenue. According to economists, thanks to network marketing, in the next 50 years there will be more people in the world with more income and prosperity. Unlike conventional trade, earnings with network marketing are equally distributed to each individual in exchange for his labor.

## **1.6. Guerilla Marketing**

Guerrilla marketing technique; It is an imaginative marketing tactic based on the loss of motivation of competitors through small, periodic and surprising moves, requiring rapid mobility. In marketing management; dynamic, responsive to the needs of consumers and adapt to all changes are proposed (Haereid and Indregard, 2012, 6-7). "Guerilla marketing;

It is based on the principle that small and medium-sized enterprises, especially small and medium-sized enterprises, gain a place in the market by depressing other competitors in the market morally with periodic but surprising attacks Kot (Kotler, 2003: 163; Tek, 1997: 109).

Along with the changes in marketing approaches, personalized marketing efforts have increased. The rapid impact of technology on human life has led to the emergence of new communication channels. Guerrilla marketing is a marketing technique that has been put forward with these ideas. Guided by Jay Conrad Levinson for the first time, guerrilla marketing is a concept that aims to make remarkable and effective marketing efforts with very small budgets. One of the goals of this marketing technique is to gain brand awareness and consumption habits to smaller groups with creative ideas and surprising approaches. Guerilla Marketing was initially used only for small firms to better deal with large firms. Therefore, one of the pioneers of the guerrilla marketing idea, Jay Conrad Levinson defines this approach as a “attrition” attack (Digital Marketing Social Media, 2017).

### **1.7. Viral Marketing: Word of Mouth Marketing ( or Ear-to-Ear Advice Marketing)**

The marketing technique called viral marketing comes to the forefront as the way of marketing through advice via internet and digital technologies. Viral marketing is an electronic/digital word of mouth marketing technique (Eaton, 2008: 3). This technique is a marketing technique that aims to transmit the content of the planned marketing message to the targeted audience in the most appropriate and sincere way through non-traditional communication channels. The formation of word-of-mouth communication through a completely digital platform is called viral marketing (Kılıçer, 2006: 30). In other words, viral marketing; It identifies the strategy that encourages people to pass on a marketing message to other people, thereby emphasizing a significant potential for message spread. Similar to viruses, viral marketing strategies can have the advantage of spreading the message from thousands to millions.

General tools of viral marketing are e-mail, mobile phones and other mobile devices web pages and blogs. With viral marketing, new videos on YouTube, Instagram, Facebook applications, and so on. People like to chat between people. Guerrilla campaigns, viral videos, social portals, viral marketing with impressive marketing programs aim to achieve these conversations (which are likened to buzz). (Ferguson and Colloquy, 2008: 180). Conscious or unconscious efforts to shorten the decision times of the customers and to be aware of the products and recommend them are called word of mouth marketing (Silverman, 2007: 29-30). It is called

‘word-of-mouth marketing’ aya to provide a reason for people to talk about everything they want to sell, to make positive evaluations, to recommend to other people, and to make efforts to make these conversations easier (Sernovitz, 2011: 16-17).

Reference-based marketing is used to tell people about their experiences about a product or service they use and thus increase sales. Messages sent to the target audience through direct marketing may not be taken into consideration by the target audience at the level desired by the marketing objectives. Instead, people can ask their relatives, friends, or see if an effective person is using their words or lifestyle about a product they intend to try (Silverman, 2007: 33). Moreover, the fact that the information provided by the user of the product or service is more valuable and convincing to people increases the effect of viral marketing on the formation of purchasing behavior.

Viral marketing stands out as a marketing technique based on an interactive marketing campaign created as a new form of referral marketing, where consumers communicate/advise the marketing message to other people and as a result, this message is delivered to a very wide audience. The only difference is that infectious marketing is carried out on the internet. The concept of viral marketing; the definition of content and its spread is a marketing technique through a mouth enriched with networks. It is used as a marketing application that aims to increase the impact and visibility of the message by using a marketing message to transfer it to another user through digital channels and online users. From this point of view, it can be stated that word of mouth marketing practices exist in all sectors.

## **1.8. Experimental Marketing**

In an environment surrounded by a wide range of marketing activities, businesses that want to impress consumers and differentiate themselves in their perception have to develop strategies and marketing communication efforts in which they engage in closer contact and interaction with their target audiences beyond traditional communication activities and sales strategies. At this point, the concept of experience marketing, which is expressed as the positioning of brands into the lives of the target audiences and their relationship with experiences, emerges (Çakır et al., 2006: 106). Experience is formed by identifying the consumer with certain aspects of the brand’s story. Accurate perception of the brand’s history helps strengthen the product experience and the emotional impact it creates. To the extent that the consumer is identified with the main elements of

the brand story and these elements address his imagination, the brand experience is enriched and deepened (Temiztürk, 2006: 42).

P. Kotler (2005: 30), who is considered to be a veteran in marketing, summarizes the importance of experience in marketing activities as follows: “All companies offer products or services, but it is a challenge to ensure that their customers are accompanied by an indelible experience”. The fact that the company or brand can provide an original, effective and imitable experience that will accompany the purchase behavior to its customers can lead to the conversion of the buying behavior into a permanent experience and sales repetitions. In other words, the experiences to be provided to the customer will directly reflect on the purchasing decision and the level of customer satisfaction and customer loyalty.

Comparing traditional marketing with experiential marketing; the classic marketing approach sees consumers as rational decision makers; however, experiential marketing sees consumers as living creatures that contain emotions, feelings, and thoughts as rational as they are emotional. Experiential marketing has a richer approach than traditional marketing in terms of product category, customer value and definition of competition. In the experiential marketing approach, consumption is a holistic experience and the methods and tools of the experiential marketer are different and complex compared to the analytical, quantitative and verbal methods of traditional marketing; not a single method, uses an eclectic approach (Schmitt, 1999: 55; Kotler, 2005: 30).

Experience gained by companies or brands is vital to marketing and sales success. The best way to regain old customers and get new ones is to give them memorable and unique experiences. Today, post-modern consumers want to have unforgettable experiences beyond the purchase of products and services and give more importance to their experiences. Through this unique experience, customers receive emotional satisfaction from the product with the privilege of being exclusive and act as a buyer at the expense of obtaining a negative or positive “experience” olarak as the inevitable result of consumed goods and services. Purchasing behavior by evaluating this situation, the customer can be satisfied in a rational way and thus become a loyal user of the satisfied product (Yuan and Wu, 2008: 388). Companies and brands that can apply the experience as a marketing communication strategy; provide attractive and unique experiences to their customers, use information and communication technologies effectively in the way of branding, interact and have a good time experience as a brand with strong competition in the global market will achieve success.

After briefly mentioning the current marketing strategies and practices other than niche marketing in the first section, the second section of the study elaborates the concept of niche marketing and includes the sub-sections related to the definition, scope and implementation.

## **2. Niche Marketing**

### **2.1. Niche Marketing Concept**

The changing needs of businesses and organizational markets and increasing competition, structural changes in markets, continuous advances in production and information technologies, and increasing diversification in consumers' tastes and habits challenge businesses and the validity of traditional marketing strategies.

Due to the increasing social changes and technological developments after the Second World War, mass markets have become fragmented markets. Over time, there has been a development from these fragmented markets to much smaller markets. Since the needs and expectations of these small and niche markets are very different, it is not possible to address these small groups with the standard products of mass marketing. Niche marketing has the opportunity to meet the special needs of these small groups with differentiated products starting from unmet demands (Albayrak, 2006: 220).

Another meaning of the word *niche*, which is used in architecture to define the cavity and the cavity on which the statue sits on the wall, is to find the most suitable job, place and position for the person. This word, which is placed as a "niche" in Turkish, also defines one of the latest trends in modern marketing. This trend, known as niche marketing, refers to target marketing according to some and regional marketing according to others (Demirel, 1995: 128). Although niche marketing is expressed in foreign literature by different names such as "target marketing, focused marketing, concentrated marketing and micromarketing, niche marketing is generally preferred. In Turkish, it is used as corner holder marketing or niche marketing (Albayrak, 2006: 220).

When evaluated in terms of brands and businesses; directing products or services to the entire market or the potential market can be both costly and extremely risky due to competition. For this reason, by recognizing open sectors in the market, entrepreneurs engage in profit-making efforts to meet their needs by designing products or services exclusively for target groups with specific characteristics.

Niche marketing is a strategy that has become widespread in recent years. Although market segments generally include a broad range of consumers in the market, niches include consumers who tend to narrower and sharper product characteristics. In order for businesses to succeed in niche markets, they need to address in depth the needs of the consumers they target. When they succeed, they will have a target group that is strictly attached to their products and will not avoid material sacrifice to obtain those products (Tenekecioglu et al., 2003: 101). Professor of management at London Business School Dr. Patrick Barwise's definition of niche marketing is: to catch the right opportunity at the right time, in the right place; and niche marketing is sometimes a very simple product that can be won by producing products/services for a target audience that has not attracted attention or has not been noticed until today, rather than struggling in a competitive market environment. is to realize a major expansion with a basic product that meets the need. (<http://www.kobifinans.com.tr/tr/bilgimerkezi/0203674411/17418>, 12.04.2017). Starting from this approach; niche marketing is a marketing approach targeting individual or individual target customer groups or micro markets consisting of specific customer groups with distinctly similar characteristics and requirements.

According to Kotler (2000: 37) niche markets; refers to smaller customer groups with narrower set requirements or a very specific set of requirements than general market segments. Some requests and requirements cannot be satisfied because they are new. Sometimes there are some market gaps in which large enterprises are not worth entering. There are small market segments where the requirements are not adequately met, called the niche market.

Niche marketing can be considered as a concept based on the logic of specialization in a field. This specialization; the end consumer, geographical region, product characteristics, distribution and communication channel used. It is an approach that seems to be a marketing strategy that is mostly adopted by small businesses. It is seen that competitors do not potentially see, ignore and rely on marketing and sales tactics focusing on small segments of the target audience in the market they miss. It is based on a specialization in an area where they are not present, instead of one-on-one fighting in the same ring with strong and big competitors.

Products for the niche market can be listed as: left-handed products such as scissors, pregnant products, homosexual products (LGBT), witchcraft supplies shops found in the USA, natural furs made from death, scout supplies, surfing equipment and clothes, gourmet animal foods, natural fur products produced by death, science fiction culture products shops, tropical fish shops, geriatrics products for the elderly, equestrian sporting

goods, vegetarian world cuisine restaurants, farm resorts, such as (Tıǧlı, 2009: 216).

In recent years, it is seen that the products produced for specific and unmet requirements, known as niche marketing, have been introduced to the market. Niche businesses have grown steadily thanks to the proper use of the integrated marketing tool despite their initial small turnover. Some niche products have even gone beyond the niche market by turning into a mass product. Niche marketing offers great opportunities for small and medium businesses. Niche marketing focusing on unsatisfactory market requirements; It not only brings reputation to businesses but also offers high market share and profitability. Because the demands of the neglected market segment can offer great market potential. Thus, a competitive advantage can be obtained for the enterprises that turn to niche market.

## **2.2. Characteristics of Niche Marketing**

When a niche market or consumer group is targeted, it is necessary to have detailed information about that group. In this direction, in niche marketing; it is extremely important to learn about the characteristics, habits, income levels, convenience, liking patterns, purchasing habits of the target consumer group and where you will operate in the niche market. When the niche marketing practices are examined, the following basic features come to the forefront (Varinli and Çatı, 2010: 135):

- The niche marketing company can put a significant profit share over its costs due to the values it adds to the goods/services it produces. Mass marketing firms reach a large sales volume in the market, while niche marketing firms reach a high profit share.
- In niche marketing, goods are produced according to the wishes of the customers, so that they are ready to give the desired price.
- Niche marketers try to find one or several market segments that are safe and profitable. An ideal market niche should be profitable and have growth potential.
- Niche markets often attract little interest from many competing firms. As the niche market segment evolves, the companies currently operating in this segment develop their talent and customer recognition to protect themselves against competitors.
- The very small market segment where niche marketing is implemented may disappear completely over a given period of time or, on the contrary, may show a great improvement. Many

companies, knowing these risks, increase their chances in the market area where they can serve by developing two or more niches instead of operating in a single niche market. For example; firms not only produce clothes for people with disabilities, but also produce clothes for the elderly, working together in two different market niches to reduce risks.

- Marketing activities are simplified. Companies focusing on a particular industry can develop more effective marketing strategies. Instead of producing goods/services that will satisfy a wide range of customers, reaching them through a wide distribution network and engaging in a lot of promotional activities, it focuses heavily on a small market segment with narrow marketing strategies and less resource usage.
- The market segment is sufficiently specific to define and the customer base fits one or more of the company's areas of expertise.
- Niche reaches customers in the market through easily identifiable distribution channels (media, commercial publications, associations, conferences, etc.).
- Particularly for SMEs, there is not much funding required to attract the attention of the customer to the goods / services produced by the company and to adopt the product to them.

If the characteristics of niche marketing are evaluated; marketing communication activities, based on a value-based marketing approach, where production and sales figures are low or reasonable but are based on high profit segments, high potential market segments, competition is not decisively high, it is important to focus on a few niche markets instead of focusing on a single niche market. In terms of resource utilization may be less and can be used more effectively, and finally it is full of opportunities.

### **2.3. Comparison of Niche Marketing and Mass Marketing**

Niche marketing has emerged as an alternative marketing logic to mass marketing as a result of the changes in customer demands, needs and expectations on the global scale as well as on the side of firms and brands. With the spread of niche marketing, many discussions and approaches on niche marketing - mass marketing comparison and selection have come up. Although minority, some approaches suggest the validity of classical / mass marketing, while many researchers and marketing communication professionals make assumptions that niche marketing will determine the

superiority and future. Comparing niche marketing with mass marketing; In the first place, since niche marketing concepts and practices were born as an alternative to the congested sides of mass marketing, it can be stated that almost all aspects are / may be different from mass marketing understanding.

<b>Mass marketing</b>	<b>Niche Marketing</b>
Production concept	Modern marketing concept
High throughput	High profit margin
Standard products	Differentiated product
Intense competition	No competition or weak
Central and bureaucratic organizational structure	Decentralized, flexible, simple organization structure
Target: All market	Goal: A small group with unmet needs

**Table 1:** *Comparison of Mass Marketing and Niche Marketing (Albayrak, 2006: 223).*

There are differences from the relationship established with the customer to the selection of the target market, from product understanding to the organizational structure of the organization, from the amount of production to the competitive structure and high customer focus. For example; A company implementing niche marketing may put a significant profit share over its costs due to the added values it adds to the goods/ services it produces. Thus, companies applying mass marketing strategies/ methods reach a large sales volume in the market while niche marketing firms achieve a high profit share. On the other hand, since the targeted audience is a more specific, smaller/defined group in niche marketing, it is possible to recognize the customer, to establish long-term relationships, to establish customer satisfaction-loyalty and to continue with high profit margins; because it is important in niche marketing to understand as few customers as possible and to establish emotional ties between the consumer and the brand that cannot rely solely on shopping, and to create brand loyalty. In addition to this, it can be stated that unlike mass marketing in niche marketing or campaign applications, mass media or mass media are not used, but rather personal, interactive and interactive channels are used and even personal communication is established.

## **2.4. Application Steps and Profitability in Niche Marketing**

Niche markets are the cross-sections of small, flexible enterprises that are found to be too small to be worthy of entry by large enterprises and specialized in these properties. Particularly in the intense competition

environment brought by globalization, today's large enterprises will grow even more, medium-sized enterprises will disappear and small enterprises can only survive in niche markets. In today's competitive environment, to do what has not been done yet, but the market has certain potential activities that enable small businesses to survive (Tekeli, 2001: 18). The strategic plan steps to be followed for niche marketing implementation in this direction can be followed as follows (Coetzee, 2012):

- First, an area with special needs should be selected,
- A market research should be conducted to determine whether the market size is appropriate for your implementation of your investment plan,
- Make sure that branding, patents and usage rights are not acquired by others in this field,
- Stock and delivery channels should be prepared carefully,
- A promotion plan should be created to reach the selected special market segment,
- Marketing communication plan should be put into practice,
- After the plan has been implemented, the market segment should be continuously monitored to ensure that the market still has the niche characteristics and that the business plan is rational.

According to İslamoğlu, the niche marketing application steps are as follows (İslamoğlu, 1999: 272):

Mevcut müşteri tabanı ve pazarın dışında halen hizmet verilen mevcut pazar fırsatları incelenerek, bir pazar bölümü ve/veya bölümleri seçilir.

- Emerging markets and their marketing trends are explored.
- The developments in the publications regarding the market niche served are continuously monitored.
- The customer groups that show the greatest interest in the company's goods/services, who buy and / or tend to buy, their specific wishes and requirements are determined through marketing research.
- Existing and potential customers are grouped according to their specific basic behavior.

- Direct marketing campaigns and promotion activities are organized through the press and publication.
- The message and media can be changed if necessary to better reach the target group of the product/service produced.
- In order to meet the requirements of another important niche that is not active in the market, the goods/services can be reviewed and modified to suit this target group.

In addition to the above mentioned points, it is also important to establish the necessary technological and digital infrastructure in terms of both sales and distribution and advertising channels, determination of the strengths of brands, companies and products, and the presence of marketing communication expertise to provide sufficient service to the selected market segment.

According to Linneman and Stanton (1991: 50), who emphasized the importance of the target audience in niche marketing practices, this customer group is a significant resource for its practitioners, which is not included in the customer portfolio of any business in their sector. Therefore, it would be appropriate for business managers to identify this audience, to determine why they have never made any purchases from this product or service group, and to enable this audience to try their own products or services using promotional tools. After this trial, it should determine their opinions about the products and services and make the existing products and services more appropriate for their needs, tastes and tastes, and expand their niche market portfolio by adopting that they will benefit themselves if they buy these products and services. In this direction; The target audience analysis stage, which is one of the focal points of all marketing communication plans and campaigns, is also vital for the niche marketing plan that is directed to a much more specific target audience or audiences.

The main objective of all marketing and sales plans is to maintain profitability and profitability. It is stated in previous chapters that niche marketing can also bring higher profitability than mass or classical marketing approach. Here, if the factors that make niche marketing or niche market segments more profitable are mentioned, the elements that make niche marketing more profitable are as follows (İslamoğlu, 1999: 272):

- The special market division means special and different requests with needs and desires. This allows high price and profitability,
- As niche marketing provides the opportunity to work on order, it saves on finance and inventory costs,

- It also allows the transfer of expertise to other products, target customer groups or areas.

Generally in every industry, there are companies that specialize in their own field and serve in market niches. Instead of operating in a wide area in the whole market, these companies further segment the market segments and select the very small market segments known as the market within the target market. In niche marketing, instead of producing goods/services that everyone likes a little, it is possible to realize and market the goods/services that few people love more. If a single product model is made for the whole market in mass markets, it will please everyone. In niche marketing, products that satisfy a small number of people are highly supplied.

In today's modern marketing era, consumers are trying to satisfy their needs and demands at the highest level with the increase in their welfare levels, while mass marketing strategies and mass products are inadequate to meet this demand. Therefore, it is aimed to develop and present special/differentiated products and services aimed at satisfying the demands and needs of the consumers at the highest level, and accordingly, to achieve success in niche marketing which is on the agenda of the enterprises, to develop long-term and strong relations between the enterprise and customers and thus to ensure customer loyalty. pass.

## **Discussion and Conclusion**

Marketing communication is gaining importance day by day as one of the most important factors in providing competitive advantage for businesses. In addition to the competitive environment and the technological development experienced, the reasons such as awareness of consumers, changes in their desires and expectations, globalization of communication environments, reduction of the effect of traditional advertising environments on consumers and the database obtained as a result of technological development allow companies to move away from the classical marketing approach. many different strategies and applications. It is also clear that this is a requirement in changing conditions.

Because of the intensification of competition on a global scale, brands or companies are looking for new marketing strategies in order to protect their assets and predict their future in such an environment. In almost all the markets in which there is a close price margin and product quality, companies are selling their products with different marketing strategies.

Today's businesses are developing their strategies by accepting that each customer is different from the other because of changing conditions

and that they have different degrees of desire, desire and satisfaction. In short, marketing moves from mass marketing to individual marketing. The role of information technologies in this mobilization cannot be denied. Based on marketing information and technology, data-based marketing is a customer-oriented and contemporary approach that enables marketing activities to be conducted more effectively and efficiently in today's conditions (Drake, 2002: 43). Nowadays, marketing professionals need to follow this online and hard to control world in order to be successful. It is seen that the marketing world of the 21st century has changed to provide consumer satisfaction through consumer experience and as a result to create consumer loyalty. Companies are now working towards providing consumer experience rather than selling products and services.

In today's world, production power, material resources and capital have lost their importance to a great extent. Market value of firms now; human resources, customer relations, brand value and corporate image. In this context, in marketing communication process; it can be argued that applications with a specific target-oriented, communication-based approach and a customer-centered approach are more effective in achieving their marketing objectives. In this period, developing markets, changing and increasing consumer demands gave birth to consumer-centered marketing. The fact that the individual needs of each individual cannot be determined with the understanding of mass marketing provides new opportunities for new entrepreneurs. According to many marketing experts, these opportunities constitute niche markets. Today's niche marketing approach represents a more creative, difference-based, strategic opportunity market.

The starting point in niche marketing is to identify the unsatisfied needs of the target audience (Coetzee, 2012), which is also defined as seeing hidden opportunities in the big photo and filling those important gaps. What is important at this stage is to determine these needs correctly. It is not possible to reach the right place from the wrong needs. After identifying unsatisfied needs, the business starts addressing the target audience with differentiated products. According to the researches, what is important at this stage is to differentiate the product and communicate these differences to the customer. To this end, businesses should be able to accurately communicate the characteristics of differentiated products to consumers by educating the intermediaries they use to reach the end consumer.

Niche markets increase customer loyalty as they address the specific needs of the consumer, make a difference and offer the non-customer to the customer, and these customers become ready to pay the desired price. In a niche market, if truly differentiation is made, its needs are correctly

identified, the right target audience, with the right communication, can be achieved without fear, high profit margins over costs.

Since niche markets are market segments where large enterprises find small enough to be worth entering, small and flexible companies specialized in these features and where specialization is involved, especially in the intense competition environment brought about by globalization of SMEs, medium-sized enterprises will grow. It can be argued that businesses can only survive in niche markets. In today's competitive environment, doing what is not done, entering markets that have not yet been entered but which have certain potential, are activities that enable small enterprises to survive.

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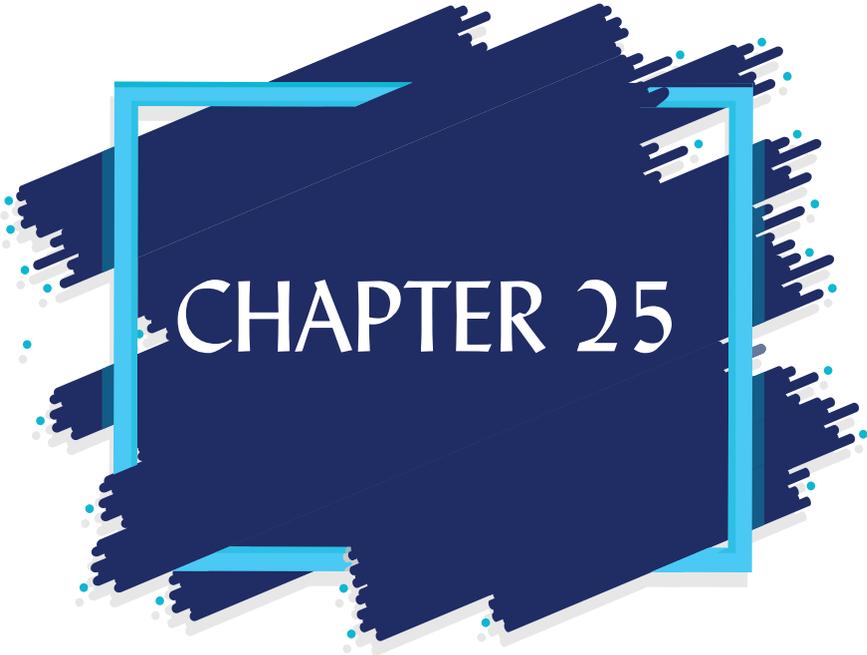
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# THE CONTEMPORARY CRITIQUE OF POSITIVISM: THE ISSUES OF REPLICABILITY AND UNIVERSALITY

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## CHAPTER 25

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## THE CONTEMPORARY CRITIQUE OF POSITIVISM: THE ISSUES OF REPLICABILITY AND UNIVERSALITY

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### INTRODUCTION

Replicability is the most fundamental principle of natural sciences, social sciences, philosophy of science and science studies, and it is considered as the criterion that separates science from pseudo-science. For social sciences that are established based on positivist methodology and the imitation of natural sciences, replication is a guarantee of universality, universal knowledge, truth and most importantly, reliability. Since replication is a philosophical presumption embedded in all scientific practices, it brings multiple interpretations. For example, for pharmacology and medical science, replication is a safety mechanism to detect the chemical properties of drugs and to show how successful it is in eliminating diseases (Pusztai et al., 2013:720). Therefore, medical experiments and researches have to be repeated all the time and give the same results. Replication, which is also considered as one of the most crucial principles for computer science, is integral for testing the reliability of a software and essential from the smallest operating mechanism to the security of the governments, banks and financial systems (Peng, 2011:1226). Such sciences where replication has not been successful have the potential to cause major social, economic and political chaos. However, for social sciences, replication is manifested in a very complex nature and replication starts with completely different assumptions, especially in areas such as sociology, psychology, anthropology and history, where human factors are highly involved. On the other hand, the principle of replicability is directly linked to the principle of universality. Positivist methodology aims to discover the truth by reaching universal laws that are based on repeatable data (Clark, 1998:1244). This dualism is a reflection of the natural sciences embedded in the history of social research. Comteian formulation of sciences stated the criteria of the social sciences and sociology, and the 20<sup>th</sup> century philosophy of social sciences dedicated itself to finding absolute/unified method in social research. In this respect, positivism is constructed as a framework that unites the paradigms of both natural sciences and social sciences, and with the claim of universal methodology, positivism combines social sciences in the field of research with a fundamental principle; Replicability as a common denominator. Replicability in social research forms the essence of the positivist attempt to discover the universal and self-supporting method of exploration of truth. However, the principle of replication as

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a meta-judge which is regarded as the legitimate baseline of science, raises certain difficulties where the research object is not independent of the researcher. With the question; “*Replication of What and by Whom?*”, Hans Radder stressed that all social scientists philosophically accept that research is reproducible, but that repetitive research is determined by very superficial frameworks, that no one knows about this complex process (Radder, 1996:16). In social sciences, in line with the positivist doctrine, it is determined that there is a big gap between the principle of replicability as a scientificness criteria and the studies actually carried out. In other words, although positivist social sciences theoretically adopt the principle of replicability, it is observed that there are almost no repeated sociological studies. As a methodological principle, this gap between theory and practice requires a close analysis. Therefore, the study will focus on the possibility of replicability principle in social sciences and reasons why replicability which is the basic principle of positivism that gave sociology a scientific legitimacy, is almost never materialized. It is essential to question the prevailing theoretical framework of social sciences -especially of sociology- and to criticize the mainstream epistemological and methodological tendency such as positivism. In this theoretical study, it is tried to voice criticism to the positivistic universalized knowledge that is gathered from the constant replicable data. This work will search an answer to the following question: “*What is the sociological critique of positivist methodology that aims to achieve universal knowledge with the principle of replicability?*”. The aim of this study is to point out the replicability issue as the latest methodological discussion of social sciences in line with the critiques of positivism that marked the 20<sup>th</sup> century, to demonstrate which schools of thought criticized the positivistic principles of replicability and universality and to show whether these principles are still a topic of debate for the 21<sup>st</sup> century social sciences. The critique of positivism has been widely realized in 20<sup>th</sup> century and there is ample literature on the subject. Therefore, it is important to find out what is new for the methodology of social sciences. What are the main discussions about the replicability principle in 21<sup>st</sup> century? What’s new? The answer to these questions was sought especially in *Chapter 4; Replication Crisis: Current Debate in Methodology of Social Sciences (2000s- .....)*.

## **1. POSITIVISM**

### **1.1. Classical Positivism**

Positivism, which is one of the most well-known movements in the history of philosophy, is a philosophical school of thought that became prominent in the 19<sup>th</sup> century and still debated today. It argues that the

most reliable knowledge can be obtained by facts through observation and experiment. As a tradition of philosophy, it is noted that it went back to the old Greek Sophists and the 3<sup>rd</sup> century thinker Sextus Empiricus (Chisholm, 1941:371). The representative of this movement is the French philosopher and sociologist Auguste Comte. Comte, who emphasized that science should be based on factual data, defended positivism throughout his life. Although positivism is identified with Comte and systematized by him, the term is priorly used by Claude Henri de Saint-Simon, the tutor of Comte. With its general lines, positivism emphasizes that scientific knowledge is in the broadest sense about the phenomena that can be experimented (Reedy, 1994:2). In most of the cases, positivism accepts the existence of information types such as logic and mathematics; but it argues that they are without meaningful content. The most important characteristic of classical positivists is that it opposes traditional philosophy, depicts it as a metaphysical fallacy. According to Comte, the characterization of metaphysics evokes a kind of information about a stage left by humanity, which has lost its reality and left its place to positive sciences. In addition, each stage in the three-stage mental development of human history is more advanced and developed than the previous one. Humanity is at first in a religious stage where explanations are made according to supernatural powers (Schmaus, 1982:248). At the following metaphysical stage, explanations are still based on some concepts that are intangible, abstract and far from facts (Schmaus, 1982:248). In the third and last stage, humanity learns to base facts on exact data obtained by observation and experiment (Schmaus, 1982:248). This last is the scientific (positive) stage in which positivism prevails. Comte likens this process as a transition stages of a human being from childhood to adulthood. Historically, positivism was an indirect result of significant developments in the Enlightenment period and New Age sciences in Europe. The main purpose of Comte was to give a new shape and a new direction to the society by examining the social events with scientific manners. For this reason, based on the positive philosophy, he established sociology as a science and tried to apply the methods of physics and mathematics to sociology. In this respect, positivism is a kind of experimental philosophy. Comte believed that it is possible to know the world of facts accurately by the method of physics (Hage, 2011:2). The knowledge of the facts does not give the essence, but it gives the laws that governs the facts. Therefore, sociology is formerly named as *Social Physics*, a nomothetic science (Hage, 2011:2).

## **1.2. Logical Positivism (Neo-positivism/Logical Empiricism): The Vienna Circle and The Principle of Verification**

In the nearly centenary history of the philosophy of science, neo-positivism has been priorly put forward in order to explain scientific concepts, methods, science itself and its assumptions. Logical positivism is an important turning point in the formation of the current topics of discussion of contemporary philosophy of science and the methodology of science. Logical Positivism (also referred as *Neo-positivism* or *Logical Empiricism*) is the continuation of Comteian positivism in the twentieth century. Logical positivism is distinguished by its scientific vision of the world which has made a huge impact throughout the first half of the 20<sup>th</sup> century. The expression of the term *Logical Positivism* was first used by A. E. Blumberg and Herbert Feigl in 1931 to describe the views of a group of thinkers who called themselves *The Vienna Circle* (Ozansoy, 1998:40). In the beginning of the 20<sup>th</sup> century, the form of evening meetings in one of the Viennese cafés transformed into a powerful school of thought.

Logical positivism represents an absolute rationality and thus the belief that reason can only be manifested in science. The logical positivists, therefore, have sought to reform the existing scientific conditions with a positive understanding of philosophy and to re-shape them with a scientific world view, arguing that they are the products of a socio-political atmosphere. Indeed, logical positivist thinkers were greatly disturbed by the conservative policy that was gradually strengthening in Germany and by metaphysics as the greatest obstacle to human progress. Therefore, they tried to distinguish between science and metaphysics, and to prevent German idealism from putting a vague and dark world before humanity. Logical positivists have opposed metaphysics for their epistemological reasons, arguing that metaphysical propositions are meaningless. They were actually following the main positivist vein, beginning with Hume and Comte and extending through to Ernst Mach (1838-1916). Indeed, neo-positivists have tried to reveal and clarify the formal structure of science by using the means and tools of logic. They concluded that a formal language is necessary in terms of analysis in science, while arguing that everyday language cannot fulfill the criteria of symbolic logic, and thus does not provide the necessary clarity and certainty for the language of science. With the initiatives of Hans Reichenbach, Carl Hempel and Alfred Ayer, logical positivists made a critical distinction between science and metaphysics with the *verifiability principle of meaning* (Miller, 2000:50). It refers that a statement can be meaningful only if it is empirically verifiable.

## **The Principle of Verification: Logical Positivist Replicability**

The principle of verifiability first of all provides a criterion of meaningfulness with very strong empirical foundations, and reveals that the meaning of an expression or phrase is in the conditions of repeatable truth. In other words, the principle states that comprehending the meaning of a sentence requires understanding the conditions under which that sentence is correct and under which conditions it is wrong. That is, an expression, a proposition or a discourse, must be repeatably verifiable in order for it to carry a content of information or be meaningful (Naylor and Finger, 1967:92). Unconfirmed propositions or claims are metaphysical claims or propositions that lack meaning. Logical positivists asserted that there are two ways of verification: factual and logical. In the case of factual verification, validation can be direct or indirect (Hick, 1960:14). That is to say, some propositions or sentences can be confirmed by means of observation; the accuracy or inaccuracy of such sentences or propositions may be judged by sensory experience or observation. It is even argued that only sentences or propositions in terms of traits or features that cannot be observed through direct experience, such as “power”, can be indirectly confirmed. More precisely, in order to explain the meaning of such theoretical terms, logical positivists sought to indirectly determine the correctness or inaccuracy of the sentences containing the terms (Blumberg and Feigl, 1931:292). Indeed, they argued that things like electromagnetic waves, electrons, and protons that cannot be perceived by man can only be indirectly confirmed in their respective theories. Therefore, logical positivists claimed that these propositions can be verified by reducing them to observables propositions or basic propositions. The factual verification, which refers to two separate forms as direct and indirect verification, is the verification of a proposition referring to an observable aspect of an event or situation in the external world, propositions such as; “Jack’s dog is white” (Hick, 1960:17). To validate such a proposition, no logical rules are needed; only Jack’s dog should be found and his color should be checked. But the proposition such as “All dogs are white” can only be confirmed by continuous observation (Schlick, 1936:339). Here replicability or reproducibility principle comes to the fore. In order to reach a theory as all dogs are white, several observations and experiments should be performed. Like the researcher who claims this proposition for the first time, all posterior researchers must confirm this proposition repeatedly (Passmore, 1943:88). “The emphasis on “observations” (empiricism) and “verifiability” (all observers agree on what is being verified, i.e., interrater subjectivity needs to be reduced) creates an overemphasis on reproducibility of data as opposed to its usefulness/adaptability” (Khanna, 2018). With 10 times, 100 times, 1000 times, etc. observation that all dogs are white is concluded, then a

universal law can be reached. Through repeated observation, the universal theory that all dogs are white is reached. Therefore, for logical positivists, replicability is a prerequisite for universality. It is a very strict principle for logical positivist that any non-replicable proposition based on observation and experimentation is not universal.

## **2. TWO FUNDAMENTAL METHODOLOGICAL CLAIMS OF POSITIVISM: REPLICABILITY AND UNIVERSALITY**

The term replication is derived from the Latin word *replicare*, meaning repetition and has been translated into Middle English and old French as *replier*<sup>2</sup> (Riedl, 2007:1517). Replicability, derived from the *-ability* suffix, which means to carry any potential, refers to a thing that has the potential to be repeatable and imitated<sup>3</sup>. Replicability (or Repeatability/Reproducibility) is one of the most important criteria for positivist social research. As a feature of certainty and provability, the theory-centered philosophy style that began with Descartes is the modern philosophy, and it is the new thought system, namely positivist scientific theories, opened with Cartesian thinking, consists of a very general, universal set of expressions whose truth and error can only be assessed through systematic observation and experimentation (Alakwe, 2017:38). The results of these observations and experiments can be known with the utmost certainty, and what makes this possible is the principle of replicability. In other words, the universal propositions of the scientific theories can thus be no longer hypotheses, but a universal law according to positivist thinking (Casadevall and Fang, 2010:4972). As a scientific principle, positivist social scientific explanations should not contain any logical contradiction and should be consistent with the observed phenomena. Yet, this is not enough. Replicability is the *sine qua non* element of the scientific research. The epistemological and fundamental principles that guide the scientific enterprise include seeking conceptual (theoretical) understanding, posing empirically testable and refutable hypotheses, designing studies that test and can rule out competing counterhypotheses, using observational methods linked to theory that enable other scientists to verify their accuracy, and recognizing the importance of both independent replication and generalization” (National Research Council, 2002:51). In other words, each investigator must be able to repeat or reproduce the results of other investigations. This controls the whole system in generating the knowledge, and it repeatedly tests the

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2 See “Replicability” article. Online Etymology Dictionary. Retrieved: 10.07.2019. url: <https://www.etymonline.com/word/replicable>

3 Also “Replica”. Wiktionary-The Free Dictionary. Retrieved: 10.07.2019. url: <https://en.wiktionary.org/wiki/replica>

explanations against solid objective cases. Neutral rules are used, neutral phenomena are correctly observed and logic is carefully followed. Over time, when different researchers conduct independent tests of a theory and add to the findings, scientific knowledge accumulates. Based on the principle, an information that can be observed, measured and stated in a common scientific language, should be reproducible by other researchers. “Positivists believe that research is reliable if results can be replicated by the researcher herself/himself and other researchers. Lack of reliability usually is attributed to factors such as researcher biases, inconsistencies in the research processes used, differences in the context in which the research was conducted, and measurement errors” (Ron, 2004:9).

Replicability is also claimed to distinguish science from pseudo-science. According to Hollins, ignoring the principle of replicability inevitably leads to being pushed out from scientific field. “Either you accept replication as a relevant criterion or else your work does not qualify as science but as art” (Reinhart, 2016:409). The information obtained from any research is repeated by others under the same conditions with the same methods and tools, and its accuracy and error are tested. Repeating several times increases the reliability of the information. This removes the information from the individual experience field and puts it in the position of objective knowledge with universal general validity. Quantitative expressions or quantitative expression forms is an important step for positivism as an ideal for all sciences. A branch of science is theorized as far as it can propose its laws in the form of quantitative expressions. “A positivist investigator has an idea or notion that the universe or world conforms to permanent and unchanging laws and rules of causation and happenings; that there exist an intricacy and complexity that could be overcome by reductionism; and with the intention of asserting an importance and emphasis on impartiality, measurement, objectivity and replicability” (Aliyu et al., 2014:82). According to Matusov, replicability principle is based on the assumptions that (1) the researcher and the studied phenomenon can be separated; (2) the phenomenon has a stable and unchangeable character in the world; and (3), like the phenomenon, the researcher can be duplicated and also has a stable and unchangeable character (Matusov, 1996:545). “The research should be repeatable. Any other competent researcher should be able to take your problem and, collecting data under the same circumstances and within the identical parameters as you have observed, achieve results comparable (sic) to those you have been able to secure” (Leedy, 1980: 46). Gouldner also specified a definition what he calls as “operational replicability”, combining the ideal of repetition and objectivity, argued that “objectivity simply means that a sociologist has described his procedures with such explicitness that others employing them on the same problem will come to

the same conclusion (Gouldner, 1968:114). “No matter who conducts (and thus observes) a given experiment, the result must be consistent to be a valid source of scientific knowledge. This is the essence of the replicability that underlies claims to scientific knowledge and that is so essential to the scientific method” (Gimbel, 2016:73).

Ernst Mach, as one of the most important figures in the formation of logical positivism, claimed that scientific expressions should be experimentally and repetitively validated, and all experimental expressions should be formulated so that they can be reduced to sensory observations (Saygılı, 2018:90). In other words, scientific expressions were nothing, but reproducible economic shortening of sensations. According to Carnap, the quantitative data that are simply measurable are included in the category of observable things (Quine, 1960:365). Because, it is possible to verify with simple repeatable measurements. When definite (or consistent) regularities are detected in repeatable measurements, the only thing is left; an empirical law to generalize (Anlı, 2013:2). In other words, what is scientific is repeatable. In addition to logical positivists, Carnap in fact supplementally replaced the idea of *gradual increasing confirmation* with the idea of verification of logical positivism (Ando, 2012:145). He argued that if validation is regarded as the complete and absolute establishment of truth, universal situations can never be verified. However, universality can be confirmed by the accumulation of successful empirical tests. Thus, science proceeds with ever-increasing replication under different conditions and situations. Logical empiricism -as identified with Carnap- believes that all information begins with observation. This leads to the empirical generalization of observed beings. As a result of the development of our ideas, theories are deductively constructed to explain generalizations, and new evidence is collected to support them (Ando, 2012:145). Furthermore, according to Hempel, when science is directed towards nature, long-term repeatable experiments (induction) determine the relative frequencies of basic alternatives and their exposures (Von Wright, 2004:11). The probabilistic laws of science are also based on the relative frequency which is basically based on the induction. Due to the openness of the induction, the assumptions of likelihood or high probability are always correctable in the light of empirical data related to the phenomenon. On the other hand, as in inclusive laws, probabilistic laws are also validated at the rate of foresight. In fact, scientific propositions or hypotheses in the form of statistical probability are tested by examining the long-term reproducible frequency of the relevant result (Küppers, 1990:58). To sum up, the proposition/hypothesis is confirmed as much as the probability is observed by the repeatable measurement. In terms of social sciences, academic institutions and journal editors also have certain criteria for replication to

be successful. For example, the code of ethics of the *American Economic Review* requires that all data used in the analysis section should be clearly stated for the latter replications<sup>4</sup>. Cases where this data is not explicit are not published because they do not provide replication. Again, in the ethics section of the *American Sociological Association*, it is emphasized that all sociologists are required to share the data they have collected in order to their work to be replicated<sup>5</sup>.

Modern science which is the universalist understanding that has left its mark on Western philosophy since the Greeks, has become a product of the philosophy of the New Age. In fact, science has been defined as a universalist/explanatory knowledge activity since F. Bacon, who tried to reach laws and theories through specific methods and produce controllable knowledge (Waltz & Buchanan, 2009:43). In accordance with this definition, the qualifications of modern science and modern knowledge, which Bacon calls *scientia nuovo* (new science) or *doctrina positiva* (positive science), have not only been determined epistemologically, but even in a way that is parallel to it and even more emphasized; the social independence of the value judgments and objectivity (Cortes-Ramirez, 2014:26). Positivism, which was emerged in the 17<sup>th</sup> century and was systemized in the 19<sup>th</sup> century Enlightenment movement, has developed a widespread use of modern science, both in terms of its epistemological and theoretical basis and in the development of a political doctrine that aims to base its foundations on modern science. One of the most important rings of the system of meanings and values used to reach this positive society is the argument of *Universality*. The New Age is an era that has witnessed the dominance of a universalistic scientificism. The slogan that marks the era is “Knowledge is power” and “Knowing is doing” (Cortes-Ramirez, 2014:38). Indirectly, modern science emerged in line with the ideology of the New Age to dominate the nature and society. Newton’s physics, which comes to our mind immediately, is a concrete example of what is understood from science of the era (Gürbüz, 2005:3). Science is structured in accordance with the universalist understanding in a way that is compatible with explorative and progressive spirit of the New Age. Western philosophy and modern Western science have, to a large extent, been obliged to reveal the knowledge of the universal in the direction of Comteian universalism. This universalist perspective is a passion for explaining social reality with a theoretical thinking activity based on general concepts and typify it with law-like principles. At the core of the positive philosophy formulated by Comte is the law of three stages that humanity

4 Data Availability Policy. American Economic Association. Retrieved: 09.07.2019. url: <https://www.aeaweb.org/journals/policies/data-availability-policy>

5 Article 12.5. ASA Code of Ethics. American Sociological Association. (n.d.). Retrieved: 09.07.2019. url: [https://www.asanet.org/sites/default/files/asa\\_code\\_of\\_ethics-june2018.pdf](https://www.asanet.org/sites/default/files/asa_code_of_ethics-june2018.pdf)

has undergone, and in line with this law, the duty of the positive science is to achieve the universal laws of society and to manage the society (Comte, 2015:237). The ultimate goal of the positivist research is to discover and document the universal causal laws of human behavior. Researchers need to develop abstract principles and models about the unchanging properties of the social universe (Bayhan, 2016:220). In other words, it is the purpose of exploring the laws of nature (or society) so that people can predict and control events (Bayhan, 2016:222). Positivist expressions are coherent and universal propositions that explain the relationships between phenomena in the external world. Positivist laws aim at achieving such generalizations of the area of existence.

Although the philosophers of the Vienna Circle are naturalists, their understanding of science has been adopted by social scientists. Positivist laws captured social research. Positivism makes assumptions about the structure of science as well as assumptions about the universe. Accordingly, science is an object where the observer is in neutral position. It argues that there is a clear and sharp distance between the observer and what is observed, and that a social, personal, religious, political and ideological purity is possible. The most important assumption is the idea that positivist science is a universal and compulsory knowledge because of the results obtained by experimental and mathematical methods (Yanık, 2008:79). The principle of universality seems to have been used widely by classical sociologists such as Talcott Parsons and Robert Merton. For example, Merton claimed that scientific committees share certain common values. According to him, universalism is the value for judging truth claims by preestablished and impersonal criteria. “This norm asserts the importance of the scientist staying detached and analyzing all data in an objective way which enables the creation of universal or objective knowledge” (as cited in Macfarlane & Cheng, 2008:69). Based on this view, Miller argued that Robert Dubin’s *Theory Building* (1969), Jerald Hage’s *Techniques and Problems of Theory Construction in Sociology* (1972) and Hubert Blalock’s *Theory Construction: From Verbal to Mathematical Formulations* (1969) are all exemplification of a sociological theory that is identified as *universal, measurable and empirically verifiable hypothetico-deductive* which dominated the field of social science from the late 1930s to 1970s (Miller, 2000:51). Moreover, according to Putnam, a natural consequence of the purpose of discovering universal laws is causality. Causality for Functionalists (and so much for Behaviorists) is an important condition of generalizable knowledge. Researchers attempt to explore the cause-and-effect relationship for the estimation of behavioral patterns related to a range of situations by working through induction (Floyd, 2005:33).

## **Why are Replicability and Universality Important for Positivism?**

Positivism is the scientific name for controlling nature, dominating natural processes, and predicting the future (Pierre, 2012:484). Therefore, measurement is the most important link of positivism. The mathematical expression of nature, which began with Galileo, continued with Descartes and Bacon, systematized and proceeded with Comte, a physicist and mathematician, and completed its evolution with the last stage of logical positivists. Thus, measurement in nature or in the social sphere means the same as the control of technical processes of natural processes (Pierre, 2012:484). This means a sense of nature designed according to the will of the human being. According to positivism, if a natural process can be measured in its entirety, it can be known in the future before it emerges, or even manipulated in the desired direction (Sritanayarat et al., 2010:29). This understanding gives humanity a supernatural power and makes sure that humanity can make future decisions. Individuals who wishes to successfully complete the plans in his future wants to know which behaviors will be revealed under which conditions. This information, as positivism claims, is only possible with the right measurement and experiment. In short, all scientific experiments and measurements are based on the assumption that if the same parameters and conditions are met, they will yield the same results (Sritanayarat et al., 2010:29). Therefore, the principle of replication of scientific knowledge is identical to the technical dominance of mankind to nature.

According to science, which is seen as the means of humanity to dominate the nature, and its epistemological name in the 19<sup>th</sup> and 20<sup>th</sup> centuries, all scientific research must be replicable. It is a mechanism that determines how scientists evaluate their own work and the work of others, as well as the relationship between science and the unscientific environment. This aspiration from science is not an element to be overlooked, but it is at the heart of all scientific studies that gives it scientific legitimacy. Because replication is directly related to truth. The activity based on human capacity, called science, claims to be a truth. Since positive science is also in pursuit of repetitive truthfulness, positivism to abandon the claim of replication means to abandon all science practice. Positivist accuracy targets to gather the observations of different researchers under a single method. Positivism aspires to be sure of the principle of replication and objectivity, as it is known that scientists who reach different conclusions cannot achieve a methodological unity by each declaring their results as truth. In other words, if an intersubjective consensus cannot be provided from the replication principle, it becomes impossible for science to claim

accuracy. Therefore, replication is directly related and complementary to the principles of both universality and objectivity of science.

Positivist science additionally aims to justify its arguments about what exists in nature. These justification methods and procedures differ in natural and social sciences, and the existence of different methods and procedures is caused by the diversity of the object under investigation and the very different dimensions of social reality. However, all these methods and procedures combine around a principle to justify the arguments presented by scientists. “If scientists or scientific teams independently and correctly apply the same method of justification to the same subject matter, then they must reach the same conclusions about this subject matter” (Tetens, 2016:14). This is the most general definition of replication in the scientific sense. In order to assure the accuracy of the results, all scientific efforts must provide this principle. This principle makes different voices in science possible to discuss. The existence of very different views among scientists, especially in the social sciences, does not contradict the principle of replication. Because the principle of replication is based on the fact that all research results can be repeated, and this provides the opinion that the research, which is thought to be a wrong result, is renewed by other researchers, so that the method can be improved (Begley and Ioannidis, 2015:117).

Although theoretically have different references, it is not possible to separate replication, universality and objectivity from each other, as noted above. Both are complementary and universality comes to life only to the extent that objective researchers repeat and verify researches independently. “Replication plays a key role in verifying scientific hypotheses and results and in assuring findings are generalizable beyond the specific circumstances of a particular study” (as cited in Pridemore, 2018:21, Schmidt, 2009). In a law-like science without universality, replication studies have no importance, because the sign of positivism is the science of laws. Thus, positivism cannot be mentioned in the absence of universality and replication, and the research becomes an empty and purposeless empirical huddle. Replication and universality combine observation and experimentation on a higher level and status called as science, and they give meaning and mission to knowledge which do not contain a specific pattern of knowledge by itself. According to Makel and Plucker (2014), replication and universality evoke a human kidney with its structure that separates science from non-science. In other words, knowledge that does not provide replication ceases to be a science and takes on the task of the kidney removing sludge and dirty blood from the human body. As explained in detail in *Chapter 4: Replication Crisis*, if the

majority of publications present new and positive findings and the majority of these findings are failed to replicate, then innovation has significant detrimental effects on evidence.

### **3. THE DOWNFALL OF THE POSITIVIST HEGEMONY AND THE EVOLUTION OF POSITIVISM IN 20TH CENTURY: A BRIEF SUMMARY**

The methodological tension in social sciences, especially in the disciplines dealing with historical and social phenomena -sociology- remained as a question in 20<sup>th</sup> century. While the naturalist-positivist approaches, which do not abandon the rigid acceptance of the Western rationalization line, had a scientific success in achieving empirical reality and the universal laws of this reality, and based on this, positivist social scientific approaches are able to establish the minimum conditions of being scientific based on this tradition in the early centuries and to build rules based on these principles. These sciences, which were the first examples of methodological disciplines, have excluded or ignored the most fundamental characteristic of what constitutes the study area of the social sciences, that is, the inevitable fact that the research process is not objectively given and it is not possible to separate the field of science from the realm of values. At the beginning, it has been tried to bring solutions such that the laboratory conditions and statistical formulations can be adapted to a historical analysis or at the core of the social world which was considered to be same as the natural world and therefore the positivist method were used in the analysis of the social world (see also Comte (1830), Mill (1865), Durkheim (1897)).

From the point of view of social sciences, it is possible to consider replication and universality as the most important point in which the partnership and commonality in academia ends. Not only because it is a heterogeneous group of disciplines, but also because it explores a concept called society in which there is no consensus on its definition and scope. This complex structure, ranging from the smallest individual decisions to political administrations, brings with it many different interpretations and views. In the epistemic culture of the social sciences and especially sociology, there is still controversies over what should be counted as social and scientific. Therefore, the principles of replication and universality at the center of these discussions have been criticized by many different schools of thought given above.

We see the first critique of classical positivist understanding came from German Historical School in 19<sup>th</sup> century. Hermeneutics is an approach

that emerged in the process of establishment and development of social sciences. The main objection is the universality of the social sciences in the claim that the Enlightenment and positivism put forward. In this respect, it emerged as an objection to the assertion that the method of achieving natural sciences could be applied to historical and social sciences. Hermeneutical activity, which has emerged as a study of religious texts since ancient times, has been a method applied to historical and social field through important thinkers such as Schleiermacher, Dilthey, Weber, Heidegger and Gadamer (Fırıncioğulları, 2016:47). Hermeneutics questions the claims of universality and objectivity in the methodology of the natural sciences of the scientist understanding of positivism, and argues that its scientific understanding, which is argued to be independent of language, pre-requisites and history, is unfounded and inconsistent. Hermeneutics claims that the methodology of humanities and social sciences is different from the methodology of natural sciences, arguing that it is not possible to understand the history and culture with the methodology of the positivist understanding of sciences. This school of thought fundamentally rejected the principle of replicability. Hermeneutic school, which stated that replication is not a valid criterion, rejected the replication of social sciences which it considered ideographical. They emphasized this claim by criticizing the claims of universality of social sciences. The view that the replication of unique events was not possible also eliminated the idea of universal law that aimed to be achieved by repetition.

At the beginning of the 20<sup>th</sup> century, a group of thinkers who represented the most radical of statisticality and physical reductionism, carried the Comteian classical positivism even further. Logical positivism was the reevaluation of the positivism, which became prominent in the late 1930s. Even though its' influence was lost, it became very influential in 20<sup>th</sup> century philosophy and had a decisive position in the discussions based on science and philosophy. According to logical positivism, it is seen that language and logic fields came to the fore. In this sense, logical positivism maintains an ambitious philosophical status of positivism; claiming to have a correct foundation of philosophy by denouncing the non-experimental nature of philosophy and declaring them metaphysical. According to this, philosophy should be limited to language analysis, and based on them, it is responsible for explaining the facts and the linguistic context of these propositions. They are the logical positivists who systematize replication in an experimental sense. They generalized replication for both natural and social scientific researches, claiming that it distinguishes science from non-science and provides access to the knowledge of the universal. According to Loscalzo (2012:1211), “the formal essence of replicability was born of the philosophy of logical positivism or logical empiricism, which purports

to gain knowledge of the universal through the use of formal logic linked to observation. A key principle of logical positivism is verificationism, which holds that every truth is verifiable by experience. In this rational context, truth is defined by reproducible experience, and unbiased scientific observation and determinism are its underpinnings”.

Logical positivism was first criticized for being an empiricist. The taking of experiments and observations as the starting point of all kinds of concepts is criticized as a dogma of empiricism. Lenin objected Mach and his sense of sensualism (Lenin, 1908:94). Although this objection, which was put forward in an attempt to validate the understanding of dialectical materialism and it was controversial in its general framework, it should be regarded as one of the first critics of this tradition. According to Joseph Needham, a British historian and biochemist whose ideas were influential on the formation of anti-positivist stance, the sanctity of mechanical materialism after the age of enlightenment and the sanctity of nature were rejected and the reductionist mentality started to occur when human rejected everything that he could not understand, observe or measure (Needham, 1983). This reductionist approach, which reinforces the concept of positivism, has actually occurred as a problem of nature, problem of human perception and a measurement incompetence (Raj, 2013:338). The second and most important pillar of the anti-positivist front was the Marxist approach, which was the basis for the research of the representatives of the Frankfurt School. Jürgen Habermas, Herbert Marcuse and Jean Baudrillard interprets positivist modern science's efforts to mechanize and universalize the foundation of everything as an interference in the nature and balance of life (Yanık, 2008:81). The basis of the positivist movement against heterogeneity lies in the idea of an easily manageable homogeneous world. According to Baudrillard, who has dealt with the issue from a sociological point of view, homogenization efforts create large homogeneous masses, in the same way, at the same rate and at the same time, the fact that they have action reactions, causes rapid consumption of resources and intensification of competition: this is a paradoxical situation (Allmendinger, 2002:26).

Karl Popper, although he was once referred to as one of the names in logical positivism and his relationship with positivist thought is still controversial, he has put forward the basic principle, that is, the principle of falsification against the principle of verification. According to Popper, while testing a theory, it is possible to find unlimited experimental support under certain conditions. Therefore, the criterion of scientificness cannot be experimental support. In fact, it is necessary to determine the conditions under which the theory can be falsified (Popper, 1963:4). If a theory can be falsified, then it is scientific. On the other hand, Feyerabend criticized

Popper for having a positivist stance, argued that observations and experiments were not as pure as they were supposed to be. Feyerabend argued that the so-called scientific discovery does not provide a privileged theoretical status to any knowledge on its own, and that it is impossible to sanctify the scientific method as one and universal method (Feyerabend, 1975:25). Again, within the philosophy of science, Thomas Kuhn laid out an important field in the refraction of pure experimental and observation-based science understanding by revealing the historicity and the theory-laden nature of scientific activity. Kuhn argued that positivist verifiable and reproducible experimental data is not the correct method to explain the social and cultural world. With his theory of *incommensurability*, Kuhn stated that different paradigms are often incomparable, because paradigms are competitive and irreconcilable explanations of reality (Sankey, 1994:38). Therefore, our understanding of science can never be entirely based on the concept of objectivity. As the universalization of a single paradigm is paradoxical, it is not possible to repeat the researches of different paradigms.

As outlined above, throughout the 20<sup>th</sup> century, positivism has been criticized by many different schools of thought, and it has undergone an important evolutionary process. The perception of modern science has changed radically, and in Kuhnian term; a new paradigm has been started to dominate from 1950s. It is not correct to identify critics of positivism with a single school of thought. Because the Frankfurt School, neo-Marxists, postmodernists and scientific relativists show common attitudes at many points. The postpositivist and irrational paradigms (postmodern, poststructural, postindustrial, etc.) that cross-cut many areas of modern science, argues that we need to understand the world with a new spectacle. The dominant character of post-positivism is that it is analytical because it is of Anglo-Saxon origin. In the 1950s, a period of crisis of logical positivism/empiricism began with Quine's uprising (see Quine, 1960). At first, the philosophy of language was seen as a solution to the problems Quine and Kuhn expressed. Putnam was one of the prominent ones here (Putnam, 1975). This was even assessed as the final stand of the theory of knowledge. This linguistic turn fed two different reflections: the historicization of reason and the social construction of knowledge. It was considered necessary to understand the science. In this way it was possible to place science in historical and social processes. All of these arguments were the factors that made up the postpositivist paradigm. Postpositivism, while preserving the aspects of positivism, tries to reconcile the criticisms against positivism with an interpretative approach and replaces positivism in time. While positivists hold on to the idea that the researcher and the researcher are independent of each other, post-positivist theorists agree

that hypotheses, past knowledge, and the values of the researcher affect what is observed (Ryan, 2006:13). Nevertheless, post-positivist theorists still have an ongoing commitment to objectivity; they take into account the possible effects of these prejudices.

Post-positivist theorists believe that truth exists, but this fact cannot be fully and perfectly known because of the researcher's limits (Ryan, 2006:13). According to postpositivists, evidence in research is always flawed and inaccurate. We need to be guided by the best evidence we have at the time, although there is no need for a clear authorization to access the information (Ryan, 2006:14). Research is the process of making claims based on evidence. It is the process of making requests in the light of refined or abandoned information. Methods and results should explore possible trends and establish reality and reliability (Cooper, 1997:557). The research should aim to develop claims that describe situations or describe random relationships. Sociopolitical factors (relationships of power and influence between groups) have an impact on which knowledge shapes and which beliefs are accepted (Cooper, 1997:557). Building knowledge is both evidence-based rational activities and social activity based on power, politics and ideology. Postpositivists also use naturalistic and phenomenological approaches. A small number of postpositivists discuss the validity and importance of special meanings and very few post-positivists use a purely interpretative approach (Miles and Huberman, 2016).

Knowledge developed from a postpositivist perspective is based on careful observation and measurement of an objective reality that exists outside the world. Accordingly, there are theories and laws governing the world, and in order to understand the world, they need to be tested, verified and developed. Thus, according to the scientific method based on the research approach adopted by post-positivists, the research begins with the theory, the data supporting or refuting the theory is collected, and then necessary changes are made and additional tests are developed. Compared to replication in the classical positivist approach, although there is a change in the theoretical sense, it has been found that there is no shift in practice. Accordingly, post-positivists argue that the theory cannot be confirmed by repeated verification of the research, but replication proceeds with the Popperian model of falsification. Replication therefore maintains its importance in the same position and has a meta-security status that tests the reliability of the theory.

Postmodernism, which was shaped by the ideas of scientific relativists such as Kuhn and Feyerabend and gained power since 1960, is another school of thought that rejected the principles of replication and universality

of positivist social sciences. Postmodernism argued that no information can be universal and external, because reality is considered as a structure that is not objectively given and belongs to specific cultures and languages. Lyotard (1984) argued that the self is something that depends on culture and paradigms, universal nature cannot be mentioned, universality is a social engineering deception, on the other hand, Foucault and Derrida (1969) denied universality, arguing that the definitions of universality are based on a struggle for dominance embedded in power relations and that there is no transcendental universal knowledge, and lastly feminist theory also rejected universality as an imposition of a patriarchal system that carries gender patterns.

Synthesis attempts after 1970s aimed to find a non-positivist methodology for social sciences. The synthesists rejected the principles of positivist replication and universality, but used new definitions of replication and universality in line with their own synthesis. For example, although Gadamer (2008) knew that examining the old work with hermeneutic model would lead to different interpretations, he stated that the original work had a linguistic objectivity and that the reading of that work with the universal hermeneutic model defined the replication which means to participate in the past event with the present meaning. Bhaskar's critical realism, on the other hand, rejected the universal truths, but accepted the replication to a certain extent, arguing that it provides foresight. Giddens emphasized the role of the actor in shaping the structure, constructing a double hermeneutical model with the theory of structuration and emphasizing the reproducibility of the social world (Giddens, 1984:12). On the other hand, after his days in Algeria, Bourdieu also gave up his idea of universality, but with his symbolic sociology, he formulated an interpretive reproducibility.

#### **4. REPLICATION CRISIS: CURRENT DEBATE IN METHODOLOGY OF SOCIAL SCIENCES (2000s-.....)**

Theoretically, many schools of thought have argued that replication is not valid for the social sciences. The extent to which these criticisms were justified came to life in practice with the replication crisis that erupted after the 2000s. The replication crisis is an ongoing methodological crisis that has emerged as a result of the failure of experiments on repetition of social-psychology-based studies. The crisis has deeply shaken the medical, natural, social and generally all positivist sciences processing with replicability principle. The term, produced in 2010, has currently become a crisis affecting all academia. Studies in the fields of meta-science and philosophy of science have led to discussion of the extent to which replication is scientifically available, and since reproducibility of

experiments is an important part of the scientific method, there is potentially serious consequences for many disciplines in which important theories are based on empirical studies that cannot be reproduced.

In fact, the Replication Crisis is closely related to *Proteus Phenomena*, which appeared in 2005, about 7 years before the actual crisis. By using the name of the ever-changing ancient Greek god Proteus, Ioannidis and Trikalinos (2005) realized that the replication of previous scientific studies was consistently unsuccessful and claimed that this disorder is not limited to certain studies and reflects a general scientific tendency. The term later became widespread in scientific circles, and this event heralded the 2010 Replication Crisis. Apart from these, there is also a group representing the minority and claims that the replication crisis is not real and the situation is exaggerated due to differences of intent (Amrhein et al., 2018:263). However, based on the widespread surveys, my assertion is that there is a remarkable and ongoing replication crisis in science. Furthermore, *Nature's* survey of 1,576 researchers with online questionnaire revealed that %90 of the respondents think that there is replication crises in science (“1,500 scientists lift the lid on reproducibility”, 2016).

#### **4.1. Background of the Crisis**

The replication crisis began with the failure of repetition of a series of medical and socio-psychological studies and publication of the results through journals. In 2012, Biotechnology Company announced that it was unable to repeat the experiments of selected publications, and company researchers stated that they could not repeat 90% of the 53 oncology articles published in high-profile, the most respected journals in the world (Bayram, 2016). Even if scientific deviation is taken into consideration, the ratio was still a high rate that the company chose to present these findings quickly to the public and published its' data in February 2016 on its website *F1000Research*. Besides that, a meta-analysis by Makel, Plucker and Hegarty (2012) revealed that only 1% of the studies on psychology published since the early 20<sup>th</sup> century was replicable (Makel & Plucker & Hegarty, 2012). This was a very low figure because, it has strongly suggested that most of the results obtained from isolated studies cannot be reproduced. Apart from this, in 2015, The Reproducibility Project, led by the Open Science Collaboration, headed by Brian Nosek from the University of Virginia's Department of Psychology, revealed the fact that only 39% of the 100 research conducted in the field of psychology are consistent and reproducible (“Open Science Collaboration”, 2015). Once again, the article, published in the February 11<sup>th</sup>, 2016 issue of *Nature*, brought attention of public a topic; legitimacy of replicability principle,

methodological strife that scientists have been discussing for a long time (“Challenges in irreproducible research”, 2018). The study conducted by Hagger and Chatzisarantis (2016) on the phenomenon of ego depletion in 2016, involving 23 labs and more than 2000 subjects, failed to replicate results of a previously published experiment. Richard Horton, the editor of the medical journal *The Lancet*, published an article in April 11<sup>th</sup>, 2016 issue, argued that errors in replicability and reliability of biomedical research expose the idea that something is fundamentally wrong in one of the greatest human inventions: science (“Bilimsel Yayınların En Az Yarısı Yalan”, 2016).

The crisis manifested itself with the conclusion that 90% of the research reports published in the psychology/social-psychology and medical journals are not repeatable. Thus, it was understood that it has been violating the one of the fundamental rules of scientific method that a research should be repeated by independent observers under the same conditions. In a short time, it was seen that the problem was not only unique to psychology, and it is stated that the principle of replicability creates functional problems in all scientific disciplines investigating social phenomena.

## **4.2. Evaluation of Replication Crisis from Positivist Social Scientific and Sociological Perspective**

Although it is discussed whether positivism is valid in terms of social sciences or not, it has been discussed from the path of sociology and how society should be studied. The criticisms of positivism by different sociologists are given in the above sections. In this section, the effects of the recent replication crisis in sociology is discussed. Some post-crisis scientists limited the crisis only to psychology and claimed that it was unnecessary to include all of the social sciences in this crisis. In contrast, I argue that this crisis has profoundly affected all social sciences and sociology in particular. Replicability is not only a technical formality, but also the most important criterion that gives sociology legitimacy. “The criterion for judging the status of sociology as science is to consider its ability to accumulate consistent evidence” (Gaston & Zelditch, 1979:791). The discussion of the crisis of replicability from the positivist sociological front will also automatically exclude the ideal of achieving universal law through repetition. According to Freese, the crisis of replication is not only a methodology crisis limited to psychology, but also an important chain of scientific criticism that sociologists should be extremely interested in (Freese, 2014).

Hacking (1983) emphasized that replication is only a philosophical pseudo-problem that no one ever does any repetition, and that what is done is not to strengthen the accuracy of the original work, but to improve

researcher's own cognitive level and the technological capacity of the lab environment. In addition, Lucas et al. (2013) discussed the effects of the replicability problem on sociology in a comprehensive way, and stated that sociology adopted the principle of replicability -just for the sake of formality and legitimacy- as a principle in line with positivist methodology, but in contrast there were diddly few repeated studies observed throughout the history of sociological research (Lucas et al., 2013:220). In the analysis of 48 sociology journal issues, Gaston and Zelditch (1979) concluded that sociologists are hesitant to replicate previous studies, based on practically few studies are replicated, and the percentage of replications or quasi-replications in the hundreds of papers 48 issues were no more than %2 or %3 (Gaston & Zelditch, 1979:791). Furthermore, Peterson et al. (2017) indicated that there were only 27 sociology articles with the "replication" title published in the last 25 years. Various reasons are given for this deficiency. In this section, the reasons why replication studies are not frequently encountered in sociology and why the positivist principle of replication cannot be a valid criterion for sociology, are examined.

#### **4.2.1. Ambiguity: Replication by Falsification**

Replicability is an important criterion for sociology. As Peels (2019) points out, the term *Replicability* is used in different ways in terms of social sciences. Herein, section will proceed through the definition of sociological replicability that was mentioned in the previous chapter: "Replication with a new data collection and with the same research protocol and the same research question as the original study" (Peels, 2019:3). It is a necessary process for verifying or falsifying a theoretical claim. Popper is based on the principle of replicability in order for the theory to be abandoned and to be brought into line with new observational evidence. In other words, according to Popper, replicability is the most important milestone of knowledge and science, and theories could be falsified only if a replicable effect which refutes the theory is discovered (Popper, 1963:36). As a beginning, my assertion is that the Popperian model of falsification is not valid for sociological knowledge. Suppose, for example, that a sociologist wants to determine that there is a kind of relationship between the group of people that was identified as "A" and the phenomenon "B". The sociologist immediately hypothesizes to test the theory and conduct a research to determine the relationship between A and B. As a result of the research, the sociologist, who sees that there is no relationship, immediately reformulates his hypothesis. For sociologist, this result does not indicate that there is no relationship, contrary, it is his/her inability that could not adequately identify dependent and independent variables. S/he does her/his research again and observes that there is still no relationship. By assuming that the

results stem from his/her own incompetence, researcher takes into account that there may be hidden, implicit variables and repeats the research by generating auxiliary hypotheses. Nevertheless, the sociologist does not abandon the theory by admitting that it was refuted, but rather he/she loses the energy, motivation, interest and most importantly the financial resources and funds to continue the research. s

There is another paradox of the replication model that proceeds with the Popperian falsification. Reaching the same results with the repetition of the original study contradicts the understanding of science that proceeds with falsification. Because, according to Popper, replication occurs only in the form of falsification of the predecessor theory (Popper, 1963:36). On the other hand, the failure of replication of a study indicates that there might be a problem with the original result or the error in the replication process (Peterson et al., 2017:149). Therefore, to sum up, it is not possible to construct a sociological knowledge that is cumulative and repetitive with Popperian falsification model. Reed also claimed that social world is a world of opposition that no empirical evidence can wholly represent the theory, so that falsification model is not a realistic goal for sociology (Reed, 2008:120).

#### **4.2.2. Replication Studies: Danger of Nonrecognition**

It stands as a clear fact that it is rarely possible to find funding for a sociologist to repeat previous studies. It is noted that the funding institutions and organizations always provide funding for a new and unexamined topic (Lucas et al., 2013:220). Therefore, there is no financial credibility and guarantee for a social scientist to re-establish old studies to verify or falsify them. “Even if sociologists are inclined to replicate studies, they believe that referees and editors are unwilling to publish reports of the replications, especially if they confirm previous results” (Gaston & Zelditch, 1979:791). Secondly, the repetition of existing theories is not seen as an interesting subject. Repeating an already existing data set with new observation materials is not seen as an enjoyable, innovative and interesting topic by social scientists (Lucas et al., 2013:222). The views of scientists (sociologists and physicists) interviewed by Collins (1975) about replication are remarkable:

P-1: *“I would feel kind of ridiculous building an exact copy because people would say, it is a copy, no ideas in it”* (Collins, 1975:211).

P-2: “We’re like anyone else, we like to do things first or better or by ourselves. It is more satisfying. It is the least creative and the least interesting thing to do is just to build a copy of somebody’s work” (Collins, 1975:211).

According to Lucas et al., this is another reason why repetition studies are almost never performed in sociology (Lucas et al., 2013:222). “Many sociologists believe that replication shows a lack of innovation, and perhaps even a lack of competence” (Gaston & Zelditch, 1979:791). In addition, as Eden (2002) and Collins (1999) emphasized, especially in accordance with the postmodern philosophy of science, the fact that theories belong to unique social contexts keeps sociologist away to re-perform already expired researches (as cited in Lucas et al., 2013:222). Repetition of theories that were designed for different research programs, specific social conditions and periods is described as easy and poor-quality research that cannot find a fanbase among scientific communities. Following the same guidelines, repetition studies that test the same propositions indicate the danger of nonrecognition (Lucas et al., 2013:222). Moreover, Mitchell (2014) also emphasized the complains of researchers of replication efforts as how they are being treated, and argued that these are people (those perform replications) that have thrived in a profession that alternates between quiet rejection and blistering criticism (see “On the emptiness of failed replication”, 2014).

### 4.2.3. Latent Postulates

Apart from the reasons given, some important conclusions can also be obtained, considering the philosophical presuppositions of the replication principle. The repetition of a sociological study actually means that the researcher embraces many pre-assumptions that s/he is never aware of. John Law’s “*Seeing Like a Survey*” article is enlightening in this respect (Law, 2009). Law claimed that social researchers choose a world at the same time as they choose a method for a study, starting by accepting many taken-for-granted elements as they approach the information, and instead of *describing* the reality, they -in point of fact- *construct* a reality by the method chosen (Law, 2009:239-249). Therefore, sociologists have to see that a study that is aimed to replicate is based on many preliminary assumptions. First of all, the principle of replicability is based on the tacit arguments of realism and naturalism. Many presuppositions are embedded within the replication studies as; there is a reality outside the human mind, where the human mind can penetrate this reality with certain means, the researcher is passive in front of the object that is being investigated, the theoretical constructs constituted by the human mind identically coincide

with empirical observations, etc. Bourdieu also emphasized that the survey and opinion polls were misleading and biased, postulating many premises prior to research; that all people had certain ideas, that these ideas could be revealed through questionnaires, that a few people selected by random sampling can represent the society, that each participant attributes the same values to answer choices, etc. (Lubis, 2017:76). In addition, Wang et al.'s (2014) work reveals a significant measurement error that unconsciously emerges during surveys. They stated that a system called "order effects" is observed in the surveyed participants that prevented the possibility of social scientific replication studies (Wang et al., 2014:9432). During the questionnaire, participants are asked to retrieve the memory attached to that question and relive the event for a short time. But when another question is asked over a remembered memory, the participants build the second question on the basis of the prior memory they remember (Wang et al., 2014:9432). In other words, the memory identified with the first question precedes and forms the second. According to Wang et al., this is a cognitive bias that invalidates replication in social research. The view which places the individual in the passive state in the face of the object studied, creates certain problems. From a natural scientific point of view, the fact that molecules or atoms do not contain values on their own, but that social scientific objects gain values only when the researcher approaches to the object, creates problems for the principle of replicability. In other words, social objects are normative and they are objects of value and meaning (Peels, 2019:6). On the other hand, due to mainstream positivism, the exact harmony of observations and theoretical formations in natural sciences is pre-accepted in social sciences. For example, in natural sciences, repetition of the movements of atoms, electrons, or protons conform to the theoretical construct, and the same results are obtained consistently no matter how many times it is repeated.<sup>6</sup> However, it is not possible to see the exact harmony of observation and theory in social sciences. The diversity of the researcher's intention to investigate does not make it possible to replicate a sociological study. Replication of a social researcher who has started with a certain sociological imagination is not valid, because this involves many implicit processes that the researcher has constructed prior to action in his/her mind. It is troublesome to transfer the information embedded in this mind to another laboratory environment. Daniel Kahneman (2012),

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6 As it is emphasized in the contemporary philosophy of science literature, the view that the principle of replicability cannot even be applied in natural sciences gains more supporter. Especially with the contributions of scientific relativists such as Kuhn (1962) and Feyerabend (1975), this principle has been criticized extensively. However, since this subject is out of this study, it has not been elaborated here. It should be noted here that where replicability is claimed as an unattainable goal even in natural sciences which are strictly based on empirical input and considered as homogenous, it is epistemologically more infeasible in a heterogeneous set of discipline as sociology.

Nobel Prize winner in the field of Psychology, emphasized that in order for a social research to be repeated, one of the original people who did the research must be present and replication should be done by the description of all the methodical details (“Daniel Kahneman: I placed too much faith in underpowered studies”, 2017). However, to replicate a sociological research, it is necessary to learn the primary researcher’s imagination of society, his intention to research, his pre-research presuppositions and countless other things which reflects a fruitless and inefficient occupation. Besides that, Travis (1981) argued that original social scientific studies are not well-equipped to provide repetition. He argued that original studies do not provide any information about the conditions under which replication can occur (Travis, 1981:15).

#### **4.2.4. A Positivist Illusion: Researcher as a Static and Passive Individual**

Another problem created by the principle of replicability for sociology is the underestimation of the individual factor. Positivist methodology places the individual -who can perform conscious actions in different conditions- in a passive position in the face of research. For example, when it comes to repeating a research that was done 10 years ago, positivist replication principle assumes the performing individuals identical and places the one in 10 years ago and the present in the same intellectual, cognitive and social position. It is paradoxical for sociology to equate the spirit of time (Hegel), the common orientation of the scientific community (Merton), the paradigm to which they belong (Kuhn), existing ideological assumptions (Foucault) and the emotions and the pre-thoughts of the researcher (Bourdieu). Collins (1975:206) also stated that for the replication of sociological studies, the exact copy of original could not be done, and argued that the suggestion that two copies are the “same”, presupposes a cultural limitation on the variables used for different measurements in each research. This critique -especially expressed by those who were influenced from German Historian School and tend to see sociology in human sciences- claimed the object of sociology as unique, one-off and non-repeatable.<sup>7</sup> Besides that, the results of the replication studies carried out by researchers belonging to different schools of thought vary greatly. For example, studies repeated by researchers from analytic tradition and continental tradition differ. “It is likely that a replication of any study by members of the one group would lead to substantially different results if carried out by members of the other group” (Peels, 2019:9). In addition, it

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7 In my opinion, sociology cannot be considered as a purely solipsist endeavor, so it must be located between the natural sciences and humanities. It is a diverse set of discipline as it encompasses elements from both natural sciences and humanities.

is argued that even if a researcher tries to repeat his/her own research after a certain time, s/he cannot achieve the same results. Because human beings are in constant evolution, they cannot even pursue their own research with 100% accuracy due to both humanly incompetency and emergence of new materials. For example, when a sociologist who has researched the French Revolution tries to repeat the research, s/he will reach new conclusions rather than repeating (verifying or refuting) own results, since thousands of fresh writings, critics, views, poems, theaters, memoirs, paintings, etc. involving the French Revolution will interfere.

In relation to the above-mentioned actor issue, the *Ontology Problem*, the fact that natural and social world differ ontologically has been expressed by many thinkers, and therefore it is emphasized that the principle of replicability cannot naturally be valid from a sociological perspective. As it is known, the concept of law is very important for positivism based on empiricist preliminary foundations. The task of positivist social sciences is the discovery of laws that already exist in nature (Riley, 2007:120). In other words, there are laws apriorically in nature, independent of the human mind and the task of sociology is to discover these laws (Riley, 2007:120). This view, which expresses a realist attitude, aims to discover universal laws, and assumes the space and time homogenous (Frazer, 1995:272). Yet, the idea that laws exist ipso facto has been criticized (see Cartwright, 2007:78). Homogeneity of time and space in nature cannot be approved by social ontology. This criticism, which can be based on the hermeneutic school that started with Dilthey, claims that the social world has a heterogeneous structure, and it rejects the idea of social law regardless of time and space. This view which considers actors as interpreting creatures defines social world as the entity of meaning attachment to actions, objects, events and phenomena (Frazer, 1995:272). Therefore, every social scientific research is a process in which the researcher himself participates in the research process and constructs the social world through interpretation and language. Similarly, phenomenologists reject the idea of a reality independent of the human mind (see also Husserl, 1970: Schutz, 1967: Gadamer, 2008). Phenomenologists, starting with the term subjective consciousness, take the meanings attributed to the social world and research as a starting point. Thus, the social world is built on the meanings attributed to objects by countless subjective consciousnesses. The knowledge of the research object and subject is accumulated with the researcher, and it covers intentions that are constructed for specific situations, and these sessions, based on interpretation and analysis, manifest themselves in day-to-day conversations (Friedhoff et al., 2013:27). This shows the instability and fragility of the meanings that it is impossible for another individual to repeat an action with the same consciousness. In other words, it is not

possible to repeat a study of the social world constructed with meanings and interpretations ascribed by numerous actors. Similarly, ethnomethodologist Garfinkel demonstrated the never-ending nature of actors' attribution of meaningfulness, and unnatural feasibility of replication (Garfinkel, 1984).

In addition to the theoretical constraints of replication for positivist social sciences, there are deliberate or involuntary errors and manipulations made by researchers, which transforms replication into an unattainable ideal. These are following;

**P-hacking, Cherry Picking and HARKing:** The positivist social sciences, which put the researcher in a value-free and passive state before the object under investigation, also ignore the potentiality of deliberate manipulation of the researcher. The state of the hypotheses in social research and the relationship of replication have been discussed extensively (see Simonsohn et al., 2014; Kerr, 1998; Peterson et al., 2016). The ease with which statistical information can be manipulated makes it doubtful whether hypotheses are actually constructed pre or post-research. The claims of scientific skeptics contain strong criticism in this respect. The first claim is that researchers follow a different course of analysis in the direction of their preferred hypotheses. According to this claim, the researcher is able to handle the data in the desired direction by eliminating the distorting inputs in order to verify the hypotheses (Schmidt, 2009:6). This situation generates many obscurities about whether both hypothesis and analysis are biased toward favored results. This bias, called “P-hacking” or “Cherry Picking” claims that researcher uses the data when only s/he is convinced that it has reached a certain level. In other words, by doing cherry pick, researcher publishes the positive results that s/he deems important when only it reaches the sufficient statistical threshold (Murphy and Aguinis, 2019:3). The second argument is the question whether the hypothesis is really a priorically constituted or not (Schmidt, 2009:6). This bias is called “HARKing-Hypothesizing After Results Are Known” (Kerr, 1998:197). Accordingly, it is not possible to determine when the researcher actually formed the hypothesis. The hypothesis has the potential to be constructed as desired based on the results at the end of the research. This is an issue that draws attention to the importance of the individual factor in the hypothesis which is the most important building block of the research, and it is a subject that also emphasizes fraud in the research (Makel et al., 2014:306). These claims, which reveal certain difficulties of the original studies, are also valid in the replication process. The extent to which replication remains faithful to the original study is controversial. If replication is addressed with the intention of verifying the original study, it is considered to be largely successful, i.e. replication is achieved. However, the results may be

different in the study in which the researcher started with the intention of repeating that the original research was not possible to replicate.

**Poor Study Design:** Prior to the research, the researcher makes specific decisions mostly based on personal predispositions. These are decisions that directly affect subsequent replication. Although these decisions do not affect replication much for the natural sciences, this is not the case for the social sciences. One of the most important of these decisions is the preferences on the design of the study (Asendorpf et al., 2013:110). These decisions – although they differ according to the type of the study- include research question, hypotheses, variables, avoidance of bias, data collection methods, classification and analysis. Total repetition of these decisions is not possible. The weak design, which arises from the researcher's incompetence, also affects replication. Poorly designed questions, materials and methods, poor randomization, misrepresentation of the selected group directly affect the further replicability and make it a hard utopia to reach (Asendorpf et al., 2013:110).

**Structural Limits:** Advances in computing, statistics and computer systems have greatly increased the size of a quantitative social research and continue to do so. This technological innovation provides the researcher with a lot of maneuvering space and capability, causing certain difficulties in replication of the research. Researchers are expected to limit the number of published academic articles in particular due to their size, length and stylistic characteristics (Freese, 2007:154). In other words, the researcher is expected to paraphrase all his work in a way, to remove the models, variables, non-subject observations and experiments that he has chosen. All these unwritten and intellectual choices involving the author's analytical decisions are not written in the articles (Freese, 2007:154). This is an attitude that prevents subsequent studies and replication. Replication for quantitative studies is theoretically the most important criterion of reliability, a reflection of the principle of transparency, and a manifestation of the principles of precision and clarity (Freese, 2007:154). However, research that has been prepared in a specific scheme does not carry any such information that would allow replication. Even if the general theoretical orientation and the research universe are explained in the methodology sections of the research, it does not include the way in which the conclusion is drawn from the observation site and the author's unwritten analytical decisions. This makes replication especially impossible for quantitative sociological studies.

**Transparency:** Ethical issues complicate the replication of sociological studies. Information collected from the field must be kept confidential for ethical reasons. Particularly in randomly sampled works, there is

no such thing as contacting the data collectors again, because personal information is not recorded. Often, participants do not want their answers to be disseminated to other researchers. “Especially in sociology, perhaps, researchers often are not able to make the data on which their analyses are based publicly available, either because they do not have the right to distribute the data or because of confidentiality agreements. Even when researchers can make data publicly available, they may not wish to do so because they may not want others to use their data for further analyses, at least as long as they are planning any subsequent publications of their own from those data” (Freese, 2007:160). This contradicts the transparency principle of replication. According to a study by Young and Horvath (2015), half of the authors who were contacted for the replication of 53 quantitative sociological studies refused to give the data collected from the field. A part of the sociologists (%11) stated that they lost the data due to computer and storage problems, that some of them (%11) could not give because they were too busy, and some (%4) stated that there was no specific data of replication and that this could be only discovered from the article they wrote (Young and Horvath, 2015). Again, with a follow up study by Vanpaemel et al. (2015), it was found that 246 out of 394 contacted authors of papers in American Psychological Association journals did not share their data upon request. As it is mentioned earlier about transparency in the code of ethics of the American Sociological Association and the American Economic Association, authors of journals are supposed to deposit data in independent repositories, maintained by archiving professionals, rather than leaving long-term data availability contingent on authors maintaining their personal websites (Peterson et al., 2017:153), and researchers and sociologists “should” share their data for subsequent replication. However, there are no legal regulations and sanctions on what will happen if they do not share. With the modal verb “should”, it is only recommended to researchers, and entirely left to the author’s personal preference, individual graciousness and donorship. Collins associates a significant part of the reasons why replication studies are not valid, with selfish preferences (Collins, 1975:210). Accordingly, majority of scientists do not accept the verification or falsification of their work that has been created as a result of long-term and labor-intensive work, and it turns out to be a matter of pride (Collins, 1975:210). Collins claims that this is where scientific selfishness comes into play, and due to the fact that the scientific world is a very competitive environment, the vast majority of scientists are trying to make revolutionary discoveries and are afraid to give data to the outside their designated environment labelled as “outgroups” (Collins, 1975:210). This is another argument that shows why replication is not valid in the social sciences.

**Ethics:** In social scientific research, one of the most important issues preventing replication is ethics. This may be the periodical ethical rules set by academic circles, or it may be the moral norms that all humanity has accepted for alliance in that period. As it shows a periodic structure in scientific ethics, there are different ethical understandings of different periods. A study that was considered normal and moral in the past may have been considered non-ethical for today. For example, in anthropology, research with past isolated communities is not considered ethical today. In addition, in psychology, the Harlow's (1965) iron motherhood experiment with monkeys and Watson's (1920) experiments on little Albert have never been replicated for ethical reasons. At the time of these experiments, it was not considered unethical to conduct experiments on animals and humans, but today, replication of these studies is a violation of human and animal rights.

**Unintentional Errors:** Errors are events that may occur at any time during the entire investigation period. It is not possible to say that social research which is the result of a human labor force carries 100% accuracy. Mathematical inaccuracies, especially in quantitative studies, can affect the outcome of the whole study (see also Reinhart and Rogoff (2010), for the consequences of a small error in statistical data). Such errors prevent replication, and the error in the original study causes replication to fail continuously and even restrain it to be performed. Because the identity between the original study and replication cannot be established. Although the detection of errors in quantitative studies can be made more easily with computational systems, such a criterion of accuracy does not apply to a subject-based science such as qualitative sociology.

**Fraud:** Scientific fraud has become particularly important in the context of the post-2010 replication crisis. There is no systematic study on academic dishonesty and fraud, but Brainard (2018) reports that 4 out of every 10,000 academic studies are fake. In addition, according to Fanelli (2009), 2% of scientists admitted to falsifying studies at least once and 14% admitted to personally knowing someone who did. Some researchers alter the data because they do not get answers to the research question or the results they expect. They aim to deceive academic committees or journal editors by manipulation that can be done easily in all social scientific studies. Fictitious participants can be produced for qualitative research and statistics are changed for quantitative research. It is an unethical and inglorious intervention to research, for the sake of reputation. The Potti

incident is the greatest example of fraud in science.<sup>8</sup> Therefore, such personal interventions are among the reasons preventing replication. In terms of natural sciences, this type of fraud can be detected more easily and the replication occurs in the study performed. However, there is no such criterion in social scientific terms. Increasing importance of fraud in science in the context of the post-replication crisis, and enthusiastic attention of media and political circles on scientific fraud, are mentioned in *Discussion* part of the study.

Therefore, to sum up, the idea that the individual factor is not passive in the face of the research, that it can control every stage of the research itself and even manipulate it when necessary, comes to the fore. This is a situation that greatly shaken the ideal of objectivity and replication as the fundamental assertions of positivist sociology.

#### 4.2.5. Replication and Controllability

For natural sciences, controllability is a concept that is directly related to replication and it is a principle that determines whether a research has the potential for replication. More replication becomes possible if a study is able to identify the uncertain variables that are effective on the system and control them with appropriate methods (Milkowski et al., 2018:163). Identifying those that seem to be indeterminate, implicitly affecting the phenomenon being investigated, empowers the researcher in subsequent studies and replication becomes easier (Milkowski et al., 2018:167). But this principle is problematic for the social sciences. Especially sociology, which does not rely on direct observation such as physics and chemistry, and goes to conclusions with the help of indirect measurement and statistics, explores a complex system in which it is impossible to determine all of the variables that affect a phenomenon.

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8 The most important scandal about scientific fraud known is that the entire researches by Anil Potti from Duke University has turned out to be a fake where he has written 11 articles with a fabricated fake data system and received a scholarship worth 780.000 dollars (Kaiser, 2015). Other incidents of fraud include: Cyril Burt, who made his mark as a pioneer of applied psychology, deliberately altered the statistics of at least 30 years, and the 10 intelligence coefficients in his extensive research on intelligence and its relevance to atavism, leading to the wrong direction of science until 1979 (“The Cyril Burt Affair”, 2018). Smith Woodward and Charles Dawson have tried to simulate a thousand-year-old fossil by treating potassium dichromatic to a human skull in a Piltdown pit (“Piltdown Man”, 2019). The statistics announced by the US Food and Drug Administration (FDA) indicated that frauds in researches have been recorded in 11% of controls during the last 10 years (Seife, 2015:569). The researcher Stephen Brevning, who started out with the hypothesis that neuroleptic drugs have more harm than the benefits, so should not be recommended or even left, has reached the results supporting his theory with his long chain of researches (Arslantürk, 1989). A larger study by the American National Institute of Mental Health (NIMH) announced to produce additional information on the effect of drugs on IQs; then, in April 1988, Brevning was formally accused of fraud and giving false information to the government on a broad field of practice.

(There are also controversies going on in the natural sciences that it is not possible to comprehend all variables). However, as the complexity of the investigated object increases, controllability decreases. Society and human nature as the research object of sociology, contain the interaction of numerous components that are not possible to be wholly predicted, and this prevents subsequent replication. “If the variables within a system can be known, characterized, and controlled, research on such a system tends to produce more replicable results” (National Academies of Sciences, Engineering, and Medicine, 2019:73). For example, it can be predicted to a large extent under which conditions, which stimulus and which effect a natural science object will give. Environment-related variables (such as air pressure, friction, temperature, elevation, etc.) in a degree allow replication to be successful. On the other hand, unlike natural sciences, the social sciences that deal with subjective intentions partially based on psychological factors do not make it possible to control. For example, in sociology, an individual’s response to a stimulus is influenced by many different variables. The most prominent ones are social context, biological and psychological traits, researcher’s verbal or nonverbal cues, etc. It is very difficult or impossible to fully control them. Therefore, the replication potential of a study is determined by the extent to which the variables are detected and controlled. Sciences, such as sociology, where the control of variables is difficult or impossible, do not conform to the principles of positivist replicability and controllability.

#### **4.2.6. Postmodern Replication**

Especially when science studies and developments in the philosophy of science after World War II are taken into consideration, it is seen that the perception of science has undergone a radical change. This is another indication that replication is not possible from a social scientific point of view. With the influence of the both post-modern and post-positivist paradigm, the tendency to view science as a single and unitary activity that explains everything has been largely abandoned. According to this view, science is not one, indivisible and unified, but many, diverse and disunified. In parallel, the principles of universality and objectivity have undergone major changes. According to this view, science is not seen as a common effort, but as a structure, characterized by path-dependent scientific communities, yielding their own methods, theories and practices (Seyedsayamdost, 2015:2). In other words, rather than an absolute orientation, it presents a structure shaped according to the epistemic culture to which they are attached. Therefore, replication is not a universalized idealized scientific method but a result of cultural development shaped by the internal and external dynamics of science (Knorr-Cetina, 1991:107).

The rules of replication in any epistemic culture can be determined by professional scientific organizations, journals, and funding agencies. In this epistemic culture, how to address research data and how replication should take place can be given, but often, these guidelines are implicit (Peterson et al., 2017:151). These rules, also called as replication conventions, are found as non-codified knowledge embedded in the research and in the mind of the original researcher (Peterson et al., 2017:151). Therefore, it is not possible to identify a common replication criterion for researchers that belong to different replication conventions, i.e. for researchers pertained to distinct epistemic cultures. Based on this view, each replication study will attain a different result due to its epistemic culture to which it is associated with its own historical, social, political, scientific, etc. predispositions. Kuhn's theory of incommensurability coincides with the example given in this sense. The route that social scientists should follow in the replication process is a return of positivism, in which the natural sciences are imitated. However, equalizing what natural scientists and social scientists do, is quite problematic. Because, as mentioned above, by embodying different replication rules and conventions, they are incommensurable and that replication can only be enlightened by the normative questions of social scientists.

#### **4.2.7. Replication as an Ideal: Quantitative-Qualitative Debate**

The notion that natural sciences and sociology are based on ontologically different preconceptions includes significant differences in the quantitative-qualitative distinction. For sociology, Gieryn (1983) argued that all the replication discussions are a boundary work and the quantitative-qualitative discussions always end in the separation of science and pseudo-science. From a quantitative sociological perspective, qualitative studies that do not accept replication as a technical criterion are not considered as science (Gieryn, 1983:784). Whereas, qualitative studies consider replication as a reality shaped in a social field and prefer the term "intersubjective accountability" instead of replication (Gieryn, 1983:784). Therefore, the discussions of sociological replication are not a discussion of positivist methodology, but a meta-philosophy, addresses the demarcation. Although quantitative studies see replication as the sign of rigidity and safe mechanism, replicating a quantitative work generates various social and epistemic problems. "By looking at the quantitative social sciences, it becomes evident that not just technical but also social aspects are relevant parts of arguments" (Reinhart, 2016:419). The role of different actors in problematizing the subject, determining the research universe, collecting data, coding and subsequent processes make replication a difficult ideal to

reach in quantitative studies. For example, the American Journal of Political Science announced that all of its studies involve third-parties in the process of data collection (Brader & Tucker, 2012:412). Apart from this, no author gets on to the field and conducts surveys with large masses one by one. Instead, researcher employs survey/poll companies. This means that data is collected by very different people. In the following process, the author starts the coding process again with the help of a statistical expert and assistants. A researcher cannot be expected to construct a questionnaire over hundreds or thousands of his own, collect data and analyze.

Friedhoff et al. (2013) argued that during the analysis phase, many mistakes occur, and some researchers who are not familiar with statistical programs conduct research with office programs that is never meant to be used in social research. Therefore, it is up to the researcher's ability and a mystery whether a researcher analyzes the data accurately. In their analysis, Smaldino and McElreath (2016) brought important results in the discussion of the possibility of replication studies in terms of social sciences and emphasized the mistakes made during the research process. Accordingly, the possibility of replication of a research is directly related to the errors made during the research process. For example, Smaldino and McElreath stated that in order to comply with the productivity expectations of the academy and gain early reputation as soon as possible, researchers do not attach enough importance to the research, and they frequently exaggerate and generalize their results (Smaldino and McElreath, 2016:3). The hastiness of the desire to publish the article as soon as possible brings along many mistakes, and this eliminates the possibility of replication and creates bad, poor quality scientific studies (Smaldino and McElreath, 2016:3). Jim Grange, psychologist from Keele University stated that "publish or perish" principle in academia canalize researchers to priorities "getting it published" over "getting it right" (Grange, 2017). As mentioned above, performing the coding phase by different actors also reduces the reliability of the process and paves the way for the idea of error or manipulation. In this case, replication becomes not a study of accuracy, but a repetition of the fallacious original study. For example, McPherson et al. (2006) exposed that 41 survey-based studies in United States had incorrectly coded. After the coding phase, the editing process begins by the editors to be published or by the actors that the researcher personally wants them to revise, most of which are expressed gratitude in the acknowledgment section. Therefore, the quantitative studies include not only the work of a researcher, but also a structure involving many actors that makes replication unachievable.

Besides quantitative studies, on the other hand, replicability has never been ideal for qualitative studies. In fact, replicability for qualitative

oriented sociology has been rejected from the very beginning. For example, according to Simon and Goes (2012), qualitative research has no expectation of replicability in any way, and instead of replication, the terms “quality”, “rigor” and “trustworthiness” formalize the structure of qualitative works. In other words, “qualitative research accepts the principle of reproducibility but uses a different set of parameters to determine and evaluate it, namely trustworthiness, confirmability, credibility and transferability” (Kroeze, 2012:5). On the other hand, Taylor et al. (2005) stated that it is not possible to set a criterion for the qualitative research to produce verifiable and accurate information. Jeffrey Isaac, the editor of *American Political Science Review* claimed that the principle of replication does not apply to qualitative studies in political science (Isaac, 2015:269). He stated that the principle of replication is a neo-positivist dominance over social sciences, and argued that positivist political science gives rise to a false perception that perspectives are fixed, static and objective, rather than seeing a never-ending area of contest (Isaac, 2015:275). For qualitative studies, the replicability has been rarely pronounced and even absent. When observing and questioning again, the participants appear as completely different actors, so it is not possible for a researcher to achieve the same results by replicating a qualitative study, because repetition actually takes place as a matter of interpretation. For Bloor (1997), in qualitative researches, replicability cannot be repeated as empirical data, but it can be converted as a valid practice by demonstrating a correspondence between the analyst’s findings and the understanding of member of the collectivity being analyzed (as cited in Reinhart, 2016:408).

According to Abrahamson and Dohan (2015), the methodological discussions of replication in qualitative sociology varies sharply, because qualitative researchers do not share any common epistemological assumptions with their quantitative colleagues. Therefore, replication is not a criterion of accuracy or validity for qualitative studies. There are many reasons for this. First of all, qualitative sociology emerged as a field of interpretation. Sociologically, it is a system that is shaped by the *verstehen* model, not by what is given, but by understanding the motivations and meanings underlying the actions. In this sense, the phrase; replication as a repetition or verification of meanings would be an incorrect language. According to Biernacki (2012), as the replication of qualitative studies is not possible, the coding process for making qualitative studies more scientific is also nothing more than concealing the interpretation phase. The second issue is whether the facts actually exist objectively. The system, called as fact-checking, is a requirement for replication to occur, and it provides a control mechanism where the facts in the previously conducted research

can be determined and tested (Uscinski and Butler, 2013:172). But this also has certain problems.

The most well-known study showing that qualitative research does not allow replication is the replication study of Freeman's (1983) anthropological study of Margaret Mead (1973) in Samoa. Freeman tried to repeat Mead's fieldwork-based research and sought to achieve the same results using Mead's facts and resources (Peterson et al., 2017:159). However, replication was not successful and Freeman had very different results. Freeman then criticized Mead on the issue of objectively available facts and accused Mead of ignoring the field of interpretation (Peterson et al., 2017:159). He argued that the operation of the fact-checking system does not apply to qualitative studies. One of the most important features of fieldwork is the continuation of the overall process of the work in a very isolated way. Researchers often prevent pseudonyms from unveiling the individuals, groups, communities or organizations being investigated. Anonymization process is the most important condition for fieldworkers. In addition, it is debatable whether researchers can continue qualitative research with the same interpretation method, even if they reach the same materials, settings, and individuals (Sherif, 2001:437). For example, in archival research, the claim that the interpretation of documents is idiosyncratic and thus different interpretation process for all those who reach the same documents is controversial. This is an event that prevents the fact-checking mechanism. According to Hammersley (1997), the fieldnotes held by the researcher during the qualitative study are texts with different interpretations and are written around a certain schema in the author's mind. Furthermore, in qualitative studies, the primary claim is that the understanding of a material or phenomenon does not in any case arise purely from material or phenomenon. Certainly, an actor and comment come into play. Collins (1998) describes the interview as a reality built by the researcher based on the responds of the subjects and researcher's experiences s/he has gained while working in the field.

Replication for qualitative studies is not a criterion of reliability due to subjectivity and inevitable context-dependent structure. Researchers working in more idiosyncratic environments agree that replication is not a criterion for data security and validity. Therefore, for qualitative researchers, the processes of production, distribution and interpretation of data are more important than replication (Leonelli, 2018:11). In other words, the accountability of the methods they use and the long-term preservation of the materials and techniques are more prioritized. The fact that different researchers have different world views and ways of interpretation is accepted as the starting point (Leonelli, 2018:11). The

process of evaluation and approval of the study begins here. Ethnographic studies, for example, have developed method strategies in this direction, since they carry the idea that research is likely to vary according to time, place, person and intention. The most important of these is reflexivity. This is when researchers become aware of their existence as much as possible during the research and determine to what extent their circumstances can affect the research (Leonelli, 2018:11). This allows the person to see the bias on their own research by becoming aware of their own self. Both subsequent researchers and readers are able to determine the extent to which the author's attention, emotional state and many other factors influenced the research.

In addition to all these general criticisms, there are also those who claim the possibility of repeating qualitative studies. However, this segment is minority and as a self-critique, they state that no satisfactory replication has ever performed. For example, Aguinis and Solarino (2019) have conducted a comprehensive study to determine how many qualitative studies are possible for replication, and they identified 12 criteria that should be included in the original study to enable replication and selected 52 qualitative studies to test (Aguinis and Solarino, 2019:1312). However, none of them has been able to achieve replication in any way (empirical, conceptual, etc.) (Aguinis and Solarino, 2019:1312). Again, Friedhoff et al. (2013) emphasized the possibility of replication of qualitative studies while highlighting important obstacles. According to Friedhoff, the data documentation required for replication is difficult ideal to reach in qualitative studies (Friedhoff et al., 2013:3).

The archiving of the collected data and making it available for further studies is entirely within the framework determined by the researcher, and this is a matter of a choice (Friedhoff et al., 2013:4). The researcher performs a selection among the collected data and the pages of transcription, eliminates other data by using as much data as required for the research question and hypothesis. It is a matter of personal preference of the researcher which information is necessary and which should be discarded. This documentation problem can only be solved by the fact that the researcher has a very broad vision and calculates the possible secondary studies from the data collected. However, as Friedhoff et al. claims, no researcher can have ability to make such a prediction (Friedhoff et al., 2013:4). Furthermore, it is also not possible to store all data. The process before the data is collected also plays an important role on the data. For example, the personal preferences of the researcher (what kind of interview questions are prepared, what materials are used, the personal notes kept, the universe of research, the time, the people chosen, the audiovisual

recordings, the extra collected documents, etc.) are among the reasons affecting the organization of the data and the whole research (Friedhoff et al., 2013:5). In addition, Freese (2007) also argued that replication of quantitative sociological studies can be done, but unsuccessful attempts so far have been caused by the authors' own fault. According to Freese, author of the original work should blame him/herself, because he/she has avoided to provide all the detail information for research to be replicated (Freese, 2007:168). However, for the reasons mentioned above, it is not possible for the researcher to write down the whole research process, including his personal intend and decisions.

In conclusion, the possibility of replication of both quantitative and qualitative studies depends primarily on epistemological notions and suitable technicality. "While quantitative social research tends to follow science-oriented paradigms, qualitative social research tends to follow humanities paradigm. These different choices bias not only the research process, but also data documentation methods" (Friedhoff et al., 2013:24). As a result, the ontological and epistemological structure of quantitative and qualitative studies does not allow replication, and especially for qualitative works; ethnography, fieldwork, archive studies, etc. replication has never been an ideal to be achieved.

After the emergence of a clear replication crisis in the social sciences, ideas were proposed from different academic circles as a solution. For example, Danny Kingsley from the University of Cambridge claimed that the replication crisis could only be overcome by a genuine Open Research idea. He stated that not only the findings of the research but the whole process should be presented in detail with the research ("The science 'reproducibility crisis' – and what can be done about it", 2017). By claiming that an application called Registered Report was launched in Psychology in 2013, Kingsley stated that researchers are now expected to explain how they conduct their research. With this event, it is hoped that the editors will be more confident over the data and the replication of the research will be successful. On the other hand, Jim Grange from Keele University stated that many journals in the UK are innovating on the replication crisis and introducing stringent requirements (Grange, 2015). Even some journals require methods, experimental protocols, and analytical strategies planned by the researcher long before the actual research. Grange, who thinks that the crisis can be overcome with these developments, claimed that the crisis still continues today. Brian Nosek, executive director of the Center for Open Science, professor at the University of Virginia, emphasized that science has undergone a major reform process, and new policies and practices by editors, journals, funding organizations and academic communities

are established to generate a research culture of replication based on the principles of openness and certainty (“Testing the reproducibility of social science research”, 2019). In contrast, Ottoline Leyser from the University of Cambridge stated that the replication crisis is a matter of purely research-related and fraud-related issues (Watts, 2017). Speaking on the basis of UK in particular, Leyser claimed that the reputational awards distributed push the researchers to illegitimate ways and manipulate their data. He claimed that the replication crisis would be overcome with the abolition of such a system of rewarding and the destruction of the scientific competition environment.

Against all these suggestions, my personal assertion is that they are not adequate solutions for the replication crisis. First of all, for the reasons given above, a social scientific study does not allow replication, even if all data is stored literally. For sociology, in which interpretation and the researcher are involved in the research process, the principle of openness of data is far from a cure. In addition, the suggestions given are related to the principle of transparency of science in terms of sharing data and do not limit the intervention of the researcher on the data shared. That is, even if the researcher is expected to share the whole process, there is no guarantee that previously modified, manipulated and false statistics will not be shared. Therefore, the suggestions given do not seem sufficient to solve the replication crisis from a social scientific point of view.

## CONCLUSION

In recent years, the productivity of the interdisciplinary studies is remarkable. Through joint studies conducted between the branches of knowledge that examine objects with different methods and techniques, researchers make significant contributions to both their expertise and new knowledge areas. According to these critical studies, it is not appropriate to mention a unified method for social sciences in terms of both universality and replicability. Homogenization of different objects to the same essence and resting on a measure that leads to certainty by mathematical method, limits the informational horizon aside from developing science and thus society. Throughout the thesis, my personal assertion was that the pursuit of universality and replicability as a basis epistemic value for social research is null and void. The fact that replicability is defined as a criterion that separates science from non-science is misleading and is in a position to distort social sciences in general and sociology in particular.

As can be seen throughout the study, replication and universality, as positivist principles, are seen as an epistemic source of power. The development of modern sciences in 17<sup>th</sup>-18<sup>th</sup>-19<sup>th</sup> cc. and the basic sources on

which positivism is based, began with Galileo's mathematization of nature, Descartes's cartesian dualism, Bacon's inductive model, and systemized by Comte and Durkheim's statistical social sciences, perpetuating the ideal of reaching universal laws. The Vienna Circle, known as logical positivists and where the majority were formed by physicists in 1920s, has put Comte positivism into the most rigorous framework and has established the principle of verification as the most crucial control mechanism that distinguishes the science from the non-science or metaphysics. This criterion as the principle of positivist replication was theoretically seen as the fundamental principle of science and science policy, and it still dominates the social sciences to a certain extent.

Hermeneutics, based on the Dilthey's and Weber's German Historical School, brought the first criticism of Comteian positivism, rejected the principle of positivist replication and universality, claimed that the social sciences are a field of interpretation and that the object under investigation could not be separated from its socio-historical basis. The phenomenological methodology which was founded in the 1920s, represented the continuation of the interpretative school based on Husserl's and Schutz's work, also claimed that the social world shows an intersubjective structure and that a social phenomenon could only be understood by the values attributed to it, so rejected positivist replication and universality criteria, claiming that each replication study would yield new results. The Frankfurt School and Critical Theory, which did not use the term replication itself, but opposed the idea of absolute truth, have brought one of the most important criticisms to logical positivism in 1930s, drew a definite line between the natural sciences and the social sciences based on the fact that the sciences examining society cannot be examined by the laws of natural science and strictly rejected the principle of positivist universality. The Frankfurt School, which approached universality in terms of its socio-political effects rather than a methodological point of view, emphasized that universality is a mission of idealism that a capitalist order of exploitation is fabricated to label and control other states as undeveloped. By the 1960s, the post-positivist era, which began with Popper, brought criticism and revision to the logical positivists' principles of replication and universality from very different perspectives. Instead of the self-affirming view of logical positivists by verification, positivism has been transformed into an inaccurate replication model that progresses with falsification. With his famous statement: "Non-reproducible single occurrences are of no significance to science" (Popper, 1959:66), Popper emphasized the importance of replication in terms of science and revised and improved the principle of positivist replicability with his falsification model. In contrast, in the same period, Kuhn came up with a completely different interpretation of science,

claiming that the principles of replication and universality would not apply to any scientific field, because science contained a structure that is shaped by the paradigms. With his theory of incommensurability, he has rejected positivist science which confirms itself by repetition and aims at achieving universal laws, and he stated that science advances as a result of the change of sovereign paradigms with revolutions in certain periods, so that no studies belonging to different paradigms can be replicated and it is not possible to reach universal laws valid in all paradigms. On the other hand, Lakatos, a colleague of Popper, criticized the ideal and conception of positivist science by arguing that there is no final confirmation or final falsification in science. According to Lakatos, there can be both no definite trues and wrongs in science, and neither by verification nor falsification, rational, omnipresent and universal methods to guarantee the truth can be established. Again, Feyerabend, Popper's pupil, another philosopher who claimed that verification, falsification and universality cannot be valid for science in any way, asserted that the observation is not a source of truth, the studies replicated repeatedly may be wrong, not a unified methodology of science such as positivism, but an anarchic epistemology in which irrationality, stories and myths are involved can be a scientific activity. Postmodernists, by denying the fact that reality is given, claimed that the social world is a structure based on communication and language, bearing certain power relations, and completely rejected the claims of positivist replication and universality. Synthesizers such as Gadamer, Giddens, Bhaskar and Bourdieu, by constructing a non-positivist philosophy of social sciences, also criticized positivism, claimed that universal truths could never be achieved.

The replication crisis that erupted in 2011 brought the principles of positivist replicability and universality back to the agenda, and revealed that the criticisms were right to a certain extent. This crisis began as a result of the vast failure to repeat the majority of researches in social psychology, spread to all social sciences, and today it has become a question of scientific legitimacy. When the crisis is considered in the context of sociology, it is determined that replication poses many problems. Firstly, it has been determined that sociological knowledge cannot proceed with postpositivist falsification model. On the other hand, replication of a sociological study creates problems of funding and recognition that it does not fulfill any demands of innovative expectations of academic circles and journal editors, and this keeps social scientists away from replication studies. Theoretically, it has been argued that replication cannot be valid in social sciences and sociology in particular, and it has been found that each study is based on different postulates and pre-assumptions which are determined by historical, social and political dispositions. Positivism, which claims

that the researcher is passive in the face of the research, has been rejected and it has been shown that researchers can manipulate the data intentionally or unintentionally. In addition, the possibility of replication has been considered problematic, especially due to ethical issues. When qualitative studies are examined, it is seen that replication is not an ideal in terms of sociology and inter-accountability and understanding are at the forefront in research. On the other hand, with the replication crisis, an important handicap of positivist social sciences has been revealed. It has been found out that positivism ignores the idea that research is carried out in very different fields, with very different materials and very different objectives. This leads researchers to have an enthusiasm over gaining maximum control over the research environment and the materials used, and it disregards the idiosyncratic dimensions of research and limits the research to an activity aimed at completing only superficial science protocols. In short, researchers ignore the subjective conditions of their local situation, seek to conform to theoretical formalities, overpass the interpretation process of the results they have reached and to what extent their position affects the results.

In conclusion, going back to the purpose of the study, it is possible to state that the hypothesis is confirmed. Considering the evolution of positivism from the era of Comte -when positivist Sociology systematically formed in 1850- to the non-positivist methodological synthesis of 1970, criticisms against positivist claims of replication and universality and the replication crisis that erupted after 2010, it is clearly observed that these principles, which give legitimacy to social sciences, are theoretically accepted, but pose major problems in practice and cannot be accepted as a valid scientific criterion. Accordingly, positivist replication is not a valid principle for social sciences and especially sociology. The post-colonial understanding of anti-universality, which has become more evident, has also been proven here because of the failure of replication, and the idea that universal laws cannot be reached from reproducible knowledge has been strengthened.

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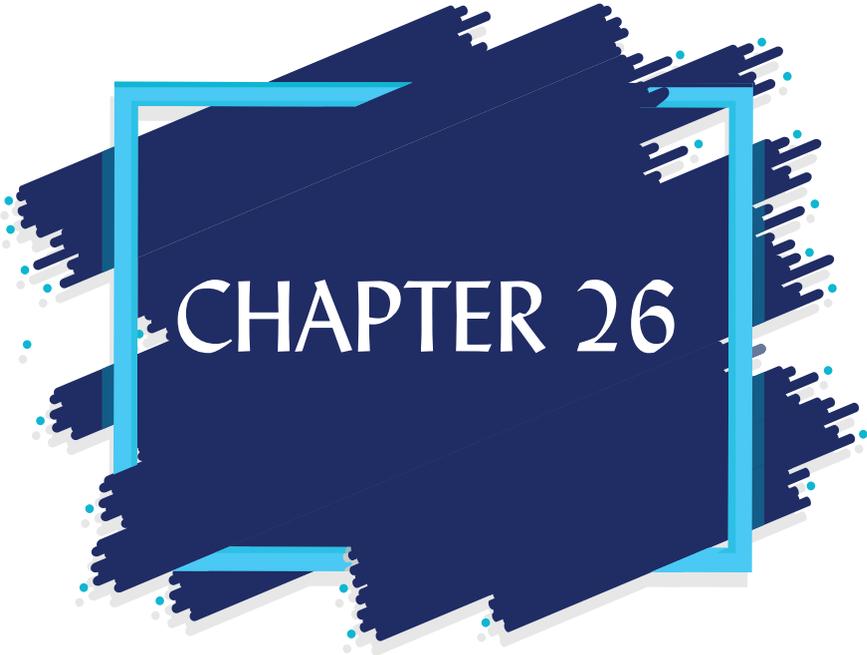
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# EVALUATION OF ENVIRONMENTAL PROBLEMS SEEN IN CITIES IN TURKEY'S INDUSTRIALIZATION AXIS: HATAY SAMPLE

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## CHAPTER 26

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## EVALUATION OF ENVIRONMENTAL PROBLEMS SEEN IN CITIES IN TURKEY'S INDUSTRIALIZATION AXIS: HATAY SAMPLE

Vedat YILMAZ<sup>1</sup>

### INTRODUCTION

The fact that man wants to change his environment throughout his life and struggles to survive in this direction is a matter that cannot be ignored. Therefore, the unchanging reality of man is to develop himself by taking advantage of the blessings of nature and to want to reach advanced civilizations. All positive formations formed by the development of mankind have come into being through the improper use of nature. Unfortunately, today, it is not only satisfied with the use of nature to meet the needs, but also by witnessing the destruction of nature leads humanity to a terrible future. The industrialization that started in European countries, especially in England, which affected the whole world, and the population growth and urbanization that developed uncontrollably as a result of this industrialization caused a new environment to occur. Targeted industrialization has been preferred instead of a planned industrialization and the environment has been placed in the second or even third place. The environmental pollution caused by intense industrialization and the increasing negative effects of this situation on human life have triggered sociologists of industrialized countries and made environmental problems an economic problem as a result of the intense interest of the public. As a matter of fact, the environmental problems discussed between 1960 and 1970, have become a real issue that must be solved as soon as possible in terms of the continuity of the economic and ecological system. The common point of environmental problems caused by urbanization and industrialization is the ignorance of environmental elements by prioritizing economic targets in the past and consequently the growth and development of cities.

In this context, in this study, city of Hatay, which is one of the most important city of Turkey, depending on the growing industrialization, is taken as an example. In this study, it is aimed to express the environmental problems seen in the city of Hatay due to industrialization. Literature survey, literary and visual sources and observation method were used in the study. In addition, urban, urbanization, environmental concepts, environmental

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problems, industrialization and socio-economic characteristics of Hatay city are included in the study.

## **CITY AND URBANIZATION CONCEPTS**

The city can be defined as a center of relations and decisions where people are together, their goods are exchanged and ideas are spread. Different types of activity come together in the city, and an outwardly open system is embodied where each element is tightly connected. In this respect, the city is a settlement system which has its own characteristics and is concentrated in a certain place and enables the complex society structure to overcome the problems that cannot be solved at the individual and family level. The number and complexity of the functions it performs make the city different from the village (Hout, vd., 2000: 14). Cities are cultural ecosystems in which living creatures living in a certain area and interacting with each other and their inanimate environments form a whole (Atıl vd., 2005: 219). Although conveniences with many services provided in cities; education, health, recreation and similar factors that attract the population, the job opportunities for being in the city and improving economic opportunities weakens these factors (Keleş, 2014: 71). Some of the cities are more developed and modernized than others. The modern city is defined as the settlement unit of economic activities based on specialization, which has a social and administrative role as a supervisor on its environment (Ortaylı 1979: 194-195). The modern city, as a product of industrialization that emerged in the 18th and 19th centuries, emerged at a time when human impacts on the environment have become more visible with the effects of new inventions on production and the emergence of the steam-powered machinery industry have. The modern city is not only an economic space that offers more important jobs and settlements to today's people, but it is also a center of attraction that attracts the most distant places in the world, shapes different regions, people and activities in a pattern and is the pioneer and supervisor of socio-economic, political and cultural life (Wirth, 2002: 77-78)

Urbanization is the most prominent aspect of the structural changes of societies, and above all, it is the process, which population substantially starts to leave agriculture and land and live and earn their lives in non-agricultural areas, in industry, in complex organizations, and therefore in cities rather than in rural areas, and it is expansion of these areas as a result of high population (Kıray, 1982: 57; Ozankaya, 1975: 63). This population increase also determines the change in socio-economic structure (Gökçe, 1977: 8). Urbanization also changes the land use method over time. The increasing population due to migration also increases the land demand of

cities. In order for cities to maintain their economic roles, resources are needed to meet the demands of the urban population. These are materials like construction materials, firewood materials, water, iron and aluminum. Extraction of natural resources may have a negative impact on the environment, as well as alteration of the natural structure of the soil and disruption of the habitats of plants and animals. In addition, urbanization is the factor that increases its own energy demand. Again, urbanization is the situation where people's consumption levels rise. High consumption is the formation of waste in urban areas. Polluted air, water, soil, vegetation and other living organisms caused by wastes can cause considerable damage. We can say that most of the pollution comes from economic growth and industrialization.

There is no doubt that the concept of urbanization is a dynamic process in which there are negative aspects as well as positive aspects. It is a well-known fact that, in addition to cities having a unique aesthetics, functionality and perfection two thousand years ago, there is the existence of cities that became uninhabitable due to interventions after complex ,economic, social and political interactions of the twentieth century (Yeter, 2008: 13). These changes are the changes that occur in the private lives, economic, social and political behaviors of the people living in the cities and that require certain actions of the state (İspir, 1982: 8-9). In addition to demographic criteria, urban life patterns should be adopted and cultural norms and rules must be followed in order to realize urbanization (Tekeli, 2015: 262). This harmony also brings with it urbanizing. Finally, *urbanizing* refers to the integration of people with the city in the life cycle in question, as behaviors specific to urban people (Bal vd., 2012: 197). This attitude and behavior can be realized both economically and socially (Kartal, 1983: 92).

## ENVIRONMENT CONCEPT AND PROBLEM

The environment is the place in which human beings live, having many social, economic and cultural effects on living things (Brundlant, 1991: 18; Karpuzcu, 1996: 1). Although the concept of environment was perceived as simple, clear and easy in the first place, it was found out that it was very complicated and very difficult to determine its border when it was conceptually examined. It is generally a combination of the effects of humans on living and inanimate beings. From this perspective, there are no topics left outside that are not included in the environment. Humans, vegetation, animals and microorganisms constitute the living dimension of the environment, while climate, air, water and the earth constitute the inanimate dimension of the environment. The environment is all the elements that shape the living life. Again, environment is the

situation where values are universalized. In legal terms, environment is the common denominator of all citizens, the flora, community of animals, air, water, land and social wealth. In other words, the environment is a concept that includes the natural life resources such as water, soil and air and the activities that arise as a result of the interaction of living things such as plants, animals and human beings (Karabiçak ve Armağan, 2004: 207). The city and the environment are complementary. Cities can only become sustainable through good environmental management. Contrary to what is thought, the sustainability approach is not unique to the modern world, but also emerged as a road map for the solution of the problems that arise in the relationship between city and environment in pre-industrial times (Foster, 2008: 39). Although environmental problems and environmental pollution seem to have occurred today, actually, its origin goes back to old. It is obvious that many of the problems believed to be identified and discussed by today's environmentalists are not actually new. Damages caused by pollution, destruction of forests, loss of fertile soil layer, presence of added foods, etc. have existed throughout human history. Many reasons such as the change in shape and size of economic studies, the concentration of the population in uncontrolled increasing cities, the spread of the transition from traditional agriculture to technological agriculture, and the increase in the quality and quantity of wastes left to the environment have carried environmental problems to the present day. Different countries in the world cause different environmental problems. For example, the fact that most of the energy resources in China are connected to coal mines and that it ranks first in the world in the coal reserve has led China to excessive consumption of coal, resulting in a high level of pollution. The resulting pollution has deteriorated the ecological balance in China. In addition, China accounts for 15% of the world's carbon dioxide emission. It is well known that perforation in the ozone layer results from such impurities. The problem of global warming, which exists today, has brought the world to the brink of disaster. Some developed countries produce apocalyptic scenarios for 2023. The first measures for environmental problems have been taken by industrially developing countries of world. Because environmental problems due to industrialization first appeared in these countries and negatively affected (Karabach and Armagan, 2004: 205). The area where environmental pollution first appeared is rivers. In 1876, a law was adopted in England, and regulations prohibiting all forms of river pollution were introduced. However, the fact that this law could not be applied in situations that could cause financial damages of industrial organizations, did not make an important contribution to the prevention of pollution (Burrows, 1980: 157).

One of the environmental problems is the destruction of nature. Nature does not have an endless source. The protection of nature is equivalent to the protection of the environment. Therefore, natural resources need to be managed well. The damage to the environment increases day by day by destroying natural resources. In order to prevent this situation, conscious individuals and societies that are sensitive to the environment should be raised. The situation created by today's industrialization requires a conscious struggle for environmental pollution. The environmentalist movement in developed countries should be considered as a dynamic that attempts to protect not only the pollution of the environment but also the environment itself.

In general, settlements that develop and grow with migration and natural population growth have significant impacts on the environment. The destructive and polluting effects of rapid urbanization especially on industrialization are among the most important ecological problems of today. Therefore, the urbanization process and the sustainable environment are two important processes that need and complement each other.

Turkey in the 1970s have begun to show itself after environmental issues with the beginning of the development of industrial activity, and today has reached significant proportions, especially in the metropolitan areas of settlement. The pollution caused by industrialization is generally the lack of investment planning and site selection rather than large investments. The fact that industrial activities are carried out on fertile lands on the one hand, and that the various wastes of related industrial activities cause environmental problems such as water, soil, air, radiation and noise cause problems from different angles (Tanrıvermiş and Mülayim, 1997: 337).

## **RELATIONSHIP BETWEEN ENVIRONMENT AND ECONOMY**

The relationship between environment and economics has been instrumental in the formation of environmental economics and the emergence of a new concept in this field. This new field, which is emerging, examines environmental problems economically and with economic methods. The protection of natural resources and the environment is important in this respect. A sustainable economic development is needed to meet the needs of today's generation and the needs of future generations. In fact, the concept of sustainable development imposes an ethical responsibility on the present generation for the next generation. This situation guarantees the natural resources that people, who are not yet born, will benefit. (Keleş, 2017: 76). On the other hand, environmental economies benefit from micro and macro economics. Since environmental

pollution is basically an external phenomenon, environmental economy is directly evaluated in the field of microeconomics. In addition, the impact of economic growth on environmental problems and the relationship between growth and environmental pollution should be evaluated in the field of macroeconomics. On the other hand, the fact that environmental problems are of economic origin has always been the main factor in the economic planning of countries. Also in Turkey, environmental problems of certain regions have been included in the agenda of economic committees held at various times. Today's world, whose economic system is developing rapidly, has become an "urban economic system" with transportation, communication, production tools and global trade networks. The urban economic system has been the main element of national development through information, capital, energy, manpower, trade, agriculture, forestry, mining and interconnection. The negative impacts of urbanization will rise with the rapid increase in population and migration and the problem of use of its resources will be the most important problem in the first quarter of the 21st century (Müjgan, 2009: 101).

## **ENVIRONMENTAL LEGISLATION AND ENVIRONMENTAL POLICIES**

Environmental legislation, although a new branch of law, is a rapidly developing branch of law that covered a lot of ground in our world and Turkey. It is a vital issue that needs to be addressed as soon as the human factor plays a role in the basis of environmental problems. Maintaining the lives of living beings in an intact, balanced and healthy environment is the subject of the right to environment. In fact, environmental right is also a human right. The Constitution of the Republic of Turkey also stated that everyone is entitled to live a healthy and balanced environment. Therefore, protecting and improving environmental health is not only given to the individual as a right, but also imposes a responsibility on the individual. Environmental policy tools aim at efficient use of resources in cities and develop different methods in this regard. Environmental problems are now a universal concern for the whole world. In this respect, the policies to be followed should be in line with this and be put into practice.

Leaving behind cleaner and more livable environment to protect the environment for future generations is important laws have been passed in Turkey. The laws enacted for this purpose are generally as follows:

- Environment Law No. 2872 published in the Official Gazette (numbered 18132) on 11 August 1983,

- Coastal Law No. 3621 published in the Official Gazette (numbered 20495) on 17 April 1990,
- Forest Law No 6831 published in the Official Gazette (numbered 9402) on 08 September 1956,,
- Law No. 2863 on the Protection of Cultural and Natural Heritage, published in the Official Gazette (numbered 18113) on 23 July 1983,
- National Parks Law No. 2873 published in the Official Gazette (numbered 18132) on 11 August 1983,
- Mining Law No. 3213 published in the Official Gazette (numbered 18785) on 15 June 1985,
- Pasture Law No. 4342 published in the Official Gazette (numbered 23272) on 28 February 1998,
- Building Inspection Law No. 4708 published in the Official Gazette (numbered 24461) on 13 July 2001,
- Metropolitan Municipality Law No. 5216 published in the Official Gazette (numbered 25531) on 23 July 2004,
- Law No. 5302 on Special Provincial Administration published in the Official Gazette (numbered 25745) on 04 March 2005,
- Municipal Law No. 5393 published in the Official Gazette (numbered 25874) on 13 July 2005
- Zoning Law No. 3194 published in the Official Gazette (numbered 18749) on 09 May 1985,
- Law No. 1380 on Fisheries, published in the Official Gazette (numbered 13799) on April 04, 1971,
- Land Hunting Law No. 4915 published in the Official Gazette (numbered 25165) on 11 July 2003,
- Animal Protection Law No. 5199 published in the Official Gazette (numbered 25509) on July 07, 2004,
- Soil Protection and Land Use Law No. 5403 published in the Official Gazette (numbered 25880) on 19 July 2005,

- Law No. 5312 on the Principles of Response and Compensation of Damages in Emergencies in the Pollution of the Marine Environment by Petroleum and Other Hazardous Substances, published in the Official Gazette dated 11 March 2005 (numbered 25752),
- Law No. 5179 on the Production, Consumption and Inspection of Foodstuffs, Amended and Adopted by the Decree, published in the Official Gazette dated June 05, 2004 (numbered 25483),
- Law No. 5686 on Geothermal Resources and Natural Mineral Waters, published in the Official Gazette (numbered 26551) on 13 June 2007,

## **DEVELOPING INDUSTRY AND URBANIZATION**

The rapid increase in technology and knowledge after the industrial revolution has had a major impact on human relationships and behavior. It can be said that these effects create more complex and unsettled lifestyles rather than calm and ordinaryness of rural life. In addition, the influence of rural people from the beginning to the end of their work helped them to specialize in it. Since people who are transitioning to urban life cannot influence from the beginning to the end of a particular job, this caused them not to specialize in their work and have a sense of alienation in the city. Marx takes the notion of ‘alienated labor’. The first appearance of alienated labor in him is the alienation of the worker to his product. People ,with this alienation, have entered into secondary and superficial relationships instead of intimate and close relationships. Insecurity and anxiety have a great place in people’s way of life (Aydoğan, 2015: 278). Industrialization and urbanization are the two main factors that cause environmental problems. The deterioration of the environment is based on the past, but with the development of the industry, its impact on the environment has increased rapidly. The phenomenon of both industrialization and urbanization has the function of turning the pressures, deteriorations and losses suffered by the environment into a problem and by negatively affecting the human-environment balance, it has opened the gap between people and nature (Keleş, 2002: 50). Generally, urbanization in developing and industrializing countries is seen just before the establishment of a reliable and sound economic base in infrastructure and employment. This complex situation has led to the destruction of the environment. In this respect, the relationship between the human and physical dimension of the environment and economics should be examined. The first reason in this relationship is to investigate the negative consequences of economic vitality on the physical structures of cities. Therefore, among the reasons that environmental problems increase and have negative impacts on human

life, industrialization and technological development, which are the main arteries of industrialization, and mass-oriented production are the reasons that cause economic growth. Therefore, market economy's achievement goal which constitutes the balance of supply and demand, has caused the unconscious use of natural resources. Another reason for the problems in the ecological system that emerges is the idea that the resources thought to be unlimited can be destroyed by nature. Together with the transition to urbanization and industrialization, the use of mass production methods and the excessive use of natural resources constitute the first step of environmental problems. Wastes ,generated as a result of production and released to the environment, constitute the second step of environmental problems. The rapid and uncontrolled economic growth seen in developed and developing countries brings environmental problems of urbanization. The increase in industrial activities in the twentieth century has led to a change in the natural environment and a new social environment. The main reason for this situation is that environmental factors were not included in the planning while industrialization activities were carried out. The first country to experience environmental change in a sensible way was England, which also carried out the industrial revolution. Textile mills, coal mines, shipyards and railways are concrete indicators of the advanced spread of industrial activities (Guha, 2000: 10). In the economic development, besides the protection of today's environment, planning of the environment that will be left to future generations should be made. For this reason, long-term environmental planning is required. The increase in activities related to industrialization means the economic development of that province. In order for a province to develop and grow, it must necessarily increase its industrial activities and have various branches of industry and produce. Industrial activities that play an important role in the development of the city should be carried out without damaging the environment without causing any deterioration of the natural balance or less damaging options should be chosen. To be truthful, in a developing city, it is not possible to achieve economic development by establishing industrial industries without harming the environment at all. However, it is possible to minimize environmental damage. In order to prevent the activities of the public and private sectors to create environmental problems or increase the environmental problems in the city, the audit mechanisms need to be run very well. Especially in the industrial activities of the private sector whose primary purpose is to make a profit, they should be audited regularly as there is a high risk of damaging the environment. Some enterprises can avoid this cost because it is a serious economic cost for industrial enterprises to take preventive measures to prevent environmental problems. The increase in environmental problems is inevitable in cities where the control mechanism does not work.

## RESEARCHED HATAY CITY'S SOCIO-ECONOMIC CHARACTERISTICS

When we mention from Hatay, the city of Antakya, which has an important place in Hatay in both historical and spatial sense, comes to mind. Antakya has a special place in history. The most important feature of the city is that it was founded first in history. It is one of the oldest settlements in the world. According to the researches, the history dates back to the middle paleolithic period, which dates back to the centuries before Christ. The city of Hatay, which has the title of 'Queen of the East' with its well-cared, planned and natural beauty, is a city of Anatolian civilizations with a significant history in terms of cultural accumulation. When we look at the long history, it is a historical city dominated by Persians, Arabs, Crusaders, Seljuks, Ottomans and French. It has a mixed characteristic of Western and Eastern civilizations. When we look at the social structure in the province, we see that it has a heterogeneous feature. Communities of different religions, cultures and ethnicities live together. In terms of religion, Hatay is a city where three different religions (Muslims, Jews and Christians) and different sects live together in harmony. Moreover, it is one of the rare cities where the mosque, church and synagogue where people perform their worship take place in the same locality. (www.hatay.gov.tr, 2019; www.hatay.bel.tr, 2019). The city of Hatay is a city with multiple cultural features, a structure with a different identity and a modern understanding of life, respectful to differences and tolerance is at the forefront. Hatay is located in the eastern part of Turkey and in the eastern part of Iskenderun Bay. In the west of Hatay there is the Mediterranean Sea, in the south and east of Syria, in the northwest of Adana, in the north of Osmaniye and in the northeast of Gaziantep. 46.1 percent of the city's land forms mountains, 33.5 percent forms plains and 20.4 percent forms plateaus. The city has a warm and dry summers and winters with mild and mild Mediterranean climate (www.hatay.gov.tr, 2019). As of 2018, Hatay has a population of 1,609,856 and its surface area is 5,867 km<sup>2</sup> and population density is 274 people per km<sup>2</sup>. It ranks 4th in terms of population density (www.nufusu.com, 2019). Looking at the economy of the province, trade, agriculture and industrial industry come to the forefront. It has fertile soils from which many varieties and abundant products are taken in terms of agricultural products. It is industrially important city in Turkey which has iron and steel factory and agricultural tools and equipment are produced (www.cografya.gen.tr, 2019).

Hatay, which was metropolitan with the law numbered 6360 in 2012, started to serve as a metropolitan municipality after the 30 March 2014 local elections. There are 15 districts of Hatay. Statistical information about the districts of the city is presented in the table below.

**Table 1:** *Statistical Information of 2018 Regarding Hatay Districts*

<b>District Name</b>	<b>Female Population</b>	<b>Male Population</b>	<b>Total Population</b>	<b>Total Population %</b>
Altınözü	29.908	31.198	61.106	3,80
Antakya	189.038	188.755	377.793	23,47
Arsuz	44.470	45.986	90.456	5,62
Belen	16.605	16.935	33.540	2,08
Defne	76.597	74.420	151.017	9,38
Dörtüyük	61.656	62.235	123.891	7,70
Erzin	20.633	20.735	41.368	2,57
Hassa	27.374	29.035	56.409	3,50
İskenderun	123.079	125.256	248.335	15,43
Kırıkhan	57.233	57.963	115.196	7,16
Kumlu	6.763	7.470	14.233	0,88
Payas	20.427	20.982	41.409	2,57
Reyhanlı	49.008	49.526	98.534	6,12
Samandağ	62.264	58.845	121.109	7,52
Yayladağı	15.317	20.143	35.460	2,20

(www.nufusu.com, 2019).

Looking at Table 1; It is seen that among the districts, Antakya has the highest population (377.799) which constitutes 23.47% of the city's total population, and the district with the lowest population is Kumlu district (14.233) and the ratio of the city to the total population is 0.88%.

27 new district was established by Law No. 6360 in Turkey. When the distribution of districts in the province is examined, it is seen that the most districts were established in Hatay. These newly established districts in the city are Antakya, Arsuz, Defne and Payas districts. Among the newly established districts, Antakya and Defne districts constitute the central districts of Hatay Metropolitan Municipality.

## **ENVIRONMENTAL PROBLEMS SEEN IN THE CITY OF HATAY THAT DEPENDED ON INDUSTRIAL INDUSTRY**

Hatay is one of the cities where problems are experienced. It is observed that there are environmental problems caused by the production of poor quality fossil fuels used for heating purposes, heavy traffic due to vehicle increase, rapid population increase, quarries, marble factories and heavy industrial materials production especially in the Gulf region. The quarries

in the city should be transported to areas away from the settlement areas that will not harm the natural environment. Factories producing industrial materials should be kept under supervision in order to prevent constant environmental problems. In order to prevent environmental problems, factory owners and managers may remain insensitive due to the economic cost to the factories. While factory managers avoid situations that may cause environmental problems during the day, they may not take precautions against environmental factors that cause environmental problems during the night. In this respect, increasing night inspections will contribute to the reduction of environmental problems in the city. The industrial industry in Hatay is developing day by day. In the city, light industrial production is carried out intensively on both heavy kem. In Iskenderun district, the country's largest iron and steel factory, ISDEMİR, tile, brick and cement factories are located. In addition, there are many factories and workshops in the city that produce motor vehicles, tankers, trailers, spare parts, oil, brake pads, packaging, canister. More than 20 thousand people work in İSDEMİR which is established on an area of 15 million square meters in İskenderun district of Hatay city. Various materials such as crude iron, round, block steel, pig iron, tar, crude ferol, ammonium sulphate, pure benzene, xylol, sovent, phenolate and sodium are produced in the factory. After the city of Istanbul and Izmir, Turkey's largest port in terms of exports and imports it is still located in Iskenderun district. 80% of the ships arriving to Iskenderun port are foreign flagged. The port is the most important port of the Eastern Mediterranean and plays an important role in the shipment of goods to Cukurova, Central Anatolia and Middle East countries. Also crude oil in Iskenderun is transported to Dörtyol facilities from Batman City, with the pipeline between Batman and Iskenderun that belongs to Turkish Petroleum Corporation (TPC) and from Dörtyol facilities to various parts of Turkey via tankers. Finally, in Hatay, there are copper, chrome, lead magnesite, iron, marble, manganese and dolomite deposits. Dolomite is used in melting iron, glass and bottle and nitrogen industry. There is a dolomite plant with a capacity of 150 thousand tons in the Payas district of the city ([www.karakese.com](http://www.karakese.com), 2019; [www.cografya.gen.tr](http://www.cografya.gen.tr), 2019). Hatay province is one of Turkey's major industrial cities, as seen. Depending on the industrialization, the environmental problem in the city is as much and awaits a solution. It can be said that the populations of industrially developed residential areas are now declining. The main reason for this situation can be said to be caused by the effects of more environmental problems on people. People want to live their lives in a clean environment and settlements where environmental problems are less. Total population ratio of İskenderun was 16.06% in 2015, it decreased to 15.86% in 2016, 15.69% in 2017 and again, it decreased to 15.43% in 2018. This raito can be shown as a proof.

## CONCLUSION

Environmental problems, which are encountered everywhere in the world, regardless of the borders, appear as a result of economic development and industrialization. Migration movement from rural areas to cities and the increase in uncontrolled population as a result of this movement accelerated unplanned urbanization, on the other hand caused environmental problems by disrupting the metabolism of ecological balances as a result of healthy and positive growth. The conversion of natural resources in the environment into products through certain stages and presenting them to the public has resulted in different forms of waste and environmental problems. The proliferation of uncontrolled urbanization and reaching an inevitable level is the biggest obstacle of the economic development of the countries as well as the lives of the people living in the city. The most important issue to be considered here is the rapid development, which is not foreseen, unnoticed and cannot be accounted for, can also cause economic problems. In addition, migration and urbanization cause people to have detached relations with each other, alienation from each other and cool down from their own value judgments. In contrast to the increase in living standards, the crowded cities cause a decline and the emergence of corrupt urban culture. Besides, economic development and income increase will increase social welfare in the long term and bring awareness to the environment. The fact that pollution is bi-directional in terms of production and consumption increases the importance and value of economic policies and leads to the search for new methods for solving environmental problems. Although NGOs in some countries around the world are shown to be opposed to industrialization in the first place, it is obvious that the industrialized countries have made a great public opinion on this issue that has led them to reconsider their plans. The important thing is that individuals with the necessary environmental awareness take steps in technology and industry and contribute to economic development in this regard. Research we have done in Hatay province, is among the major industrial city of Turkey. It is a city where both heavy and light industries are seen intensively. The industrial industry which is developing and growing day by day in the city has strengthened and continues to strengthen the city economically. In order to sustain this power of the city, it is necessary to take precautions before environmental problems (air, water, soil pollution, destruction of nature, distorted urbanization...) that affect human health significantly. Significant measures have been taken in the country to prevent and solve environmental problems that may occur legally, but it can be said that there are deficiencies in its implementation in the field. The city is experiencing environmental problems due to intensive industry. In this respect, it is important to ensure that the control mechanisms are operated on a 24-

hour basis in order to prevent environmental problems in the city during the realization of industrial activities carried out by public and private sectors. Especially night inspections should be increased. Since taking measures for environmental problems is costly, companies may pollute the environment in case of insufficient audits. The intense industrial activities in the city contribute to the increase in environmental problems day by day. In this respect, the inspection mechanisms in the country need to be run at a good level. At this point, it should be ensured that local people are informed and environment sensitive individuals should inform the relevant authorities as soon as they witness any environmental problems. Thanks to an environmentally sensitive society, a clean environment can be left to future generations.

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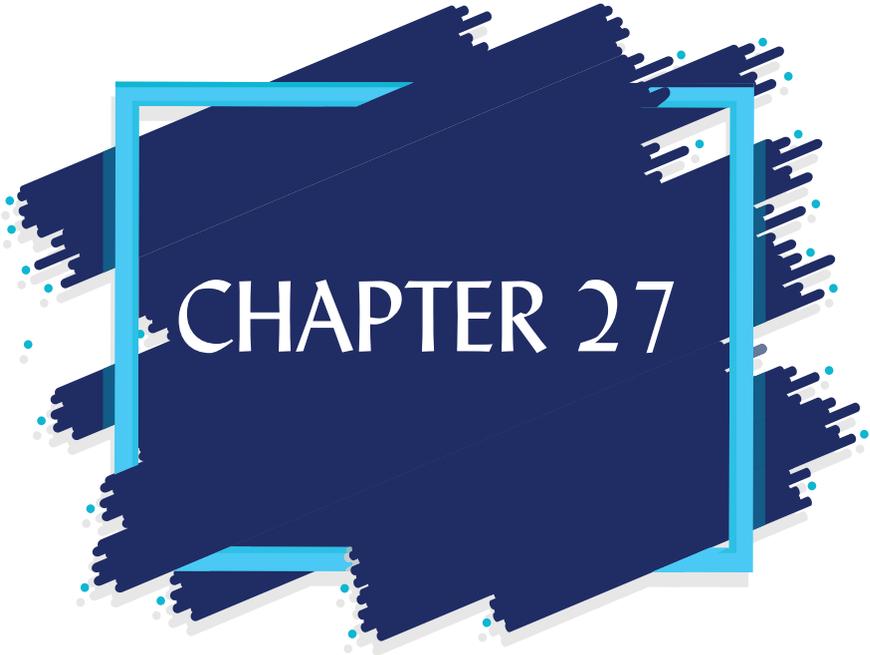
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# **SPLIT DEMAND VEHICLE ROUTING PROBLEM FOR THE LOGISTICS SECTOR: THE CASE OF TURKEY**

**Yılmaz DELİCE, Fulya ZARALI**



**CHAPTER 27**





## **SPLIT DEMAND VEHICLE ROUTING PROBLEM FOR THE LOGISTICS SECTOR: THE CASE OF TURKEY**

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### **INTRODUCTION**

Mass production and mass consumption economy which came into existence with the industrial revolution have also brought about the sense of mass distribution in the industrialized countries. In order for an enterprise to succeed in a highly competitive environment created by the global competition today, this enterprise has to not only produce goods, but also transport the requested quantity of the goods produced to the customers at the requested location within the shortest time. This situation increases the importance of logistics activities for the enterprises (Taşkın and Emel, 2009, p.17). The increased interest to the international trade and e-commerce, the changing structure of the customers' demands, and rapid change in information and communication technologies increase the importance of the logistics sector more day by day (Koban and Keser, 2007, p.38).

The performance of the logistics sector is evaluated by the criteria such as logistics costs, customer satisfaction, delivery time compliance, rate of damage occurring during the transportation, flexibility and stocking efficiency. The transportation costs have a significant proportion among the total logistics costs and this situation is one of the most fundamental problems for the sector. In order to improve the services rendered to the customer and decrease the transportation costs, it is necessary to determine the optimum transportation routes (Taşkın and Emel, 2009, p.24). The aim of the modern logistics service is to meet the needs of the customers with minimum comprehensive costs in the sector where the rate of distribution costs is particularly clear. This situation reveals the importance of vehicle routing problems for logistics. Vehicle routing problems are involved at the center of logistic activities. The solution approaches developed for these problems have both economic and environmental effect on the transportation modes such as road transport, railway transport, maritime transport and air transport which are very important for the logistics (Verolog 2012, p.787).

An optimum vehicle routing to minimize the transport costs of a logistics company operating in Turkey for Germany, Austria, France, Belgium, Netherlands, Denmark, Switzerland, Norway, Sweden, Hungary and Russia was carried out in this study. The vehicle routing problem was examined as a split delivery vehicle routing problem and solved with the

help of LINGO 6.0 program, which is an integer programming model, and the results were presented.

## 1.1 Vehicle Routing Problems

Vehicle Routing Problem started with the generalization of classical Travelling Salesman Problem (TSP) by Dantzig and Ramser (Wassan,2016). Dantzig and Ramser performed the routing of the distribution fleet of a gas station. Five years later, Clarke and Wright generalized this problem to a linear optimization problem, which is commonly encountered in the logistics and transportation area. These studies are accepted as the first modelling of the Vehicle Routing Problems (Breakers et al., 2016, p.300).

A classical vehicle routing problem designs optimal delivery routes where each vehicle with the same properties follows only one route and there is only one central depot. The aim of the vehicle routing problem is to find the vehicle routes with minimum cost such that each customer is visited once by one vehicle, each vehicle starts its route from the depot and ends in the depot, and the capacity of the vehicle is not exceeded (Breakers et al., 2016, p.301). The program contains many constraints. In practice, these constraints are divided into two groups:

### Group 1: Vehicle-related constraints

- Capacity,
- Cost,
- Number of tours.

### Group 2: Customer-related constraints

- Type of vehicle to be used
- Quality of demand
- Time
- Allocating the goods to more than one vehicles
- The presence of more than one depot (Taşkın and Emel, 2009, p.68-69).

In 1950s, the vehicle routing problem was formulated as an integer problem and solved for 10-20 customers. In 1960s, the first routing heuristics were set and solved for 30-100 customers. In 1970s, two-phase

heuristic methods were developed and solved for 100-1000 customers. In 1980s, mathematical programming-based heuristic methods were developed and good solutions were achieved for some problems with 50 customers. In 1990s, metaheuristic methods were used and good solutions were achieved for 50-100 customers (Erzurum, 2015, p.5).

General mathematical model of the classical vehicle routing problem is given below (Laporte,1992, s.347):

$G=\{V,A\}$ : is a graph where:

$V=\{0,\dots,n\}$  : set of node

$A$ : edge set

The point 0 represents the depot. In some of the formulations, the node  $n+1$  is shown as the depot. The remaining nodes are the customer's points.

Parameters

$c_{ij}$  = cost of travelling from the city  $i$  to the city  $j$

$d_{ij}$  = distance between the city  $i$  and the city  $j$

$c_{ii}$  =is accepted as 0.

Decision Variable

$x_{ij} = \begin{cases} 1, & \text{if vehicle travels from the city } i \text{ to the city } j, \\ 0, & \text{in other cases} \end{cases}$

If this is a G-directed graph, the cost matrix  $c$  is asymmetric; that is to say, it is  $c_{ij} \neq c_{ji}$ .

It is called as asymmetric classical vehicle routing problem. If it is  $c_{ij} = c_{ji}$ , it is called as symmetric classical vehicle routing problem. In this problem, the set  $A$  is replaced with the set  $E$ , which is a undirected edge set.

$$\text{Minimum } z = \sum_{i \neq j} d_{ij} * x_{ij} \tag{1.1}$$

Constraints

$$\sum_j x_{ij} = 1 \quad \forall_i \in V \tag{1.2}$$

$$\sum_i x_{ij} = 1 \quad \forall_j \in V \tag{1.3}$$

$$\sum_{i,j \in S} x_{ij} \geq |S| - v(S) \{S: S \in V \setminus \{1\}, |S| \geq 2\} \quad (1.4)$$

$$x_{ij} \in \{0,1\} \forall i,j \in E; i \neq j$$

(1.1) is an objective function and the objective function minimizes total travel distance. The constraints (1.2) and (1.3) are vehicle flow constraints. The constraint in (1.2) states that each route must start from the depot and each customer must be assigned to a vehicle. The constraint in (1.3) ensures that a coming vehicle provides the customer with the services and leaves. The constraint (1.4) is a sub-tour elimination constraint.

## 1.2 Types of Vehicle Routing Problems

### 1.2.1 Periodic Vehicle Routing Problem

Periodic Vehicle Routing Problem, unlike the classical vehicle routing problem in which one day planning period is considered, is a version that the planning period is extended to the day M. The purpose here is to detect the minimum set of route during the day M. The Periodic Vehicle Routing Problem is used for several real-world applications such as waste collection, elevator repair and maintenance, and recycle collections (Wassan,2016, p.13).

### 1.2.2 Multi-Depot Vehicle Routing Problem

In Multi-Depot Vehicle Routing Problem, it is assumed that multiple depots are distributed geographically among the customers. The customers can be visited more than once and deliveries can be made on different days, the purpose is to minimize the number of vehicles used while serving to all the customers and total distance travelled (Breakers et al., 2016, p.302).

### 1.2.3 Split Delivery Vehicle Routing Problem

The Split Delivery Vehicle Routing Problem enables that two different vehicles serve for the customer such that total cost is minimized. If the sizes of the customer's orders are bigger than the capacity of one vehicle, it will enable to visit the customer more than once. The purpose is to find the most suitable route for each vehicle (Taşkın, and Emel, 2009, p.102).

### 1.2.4 Heterogeneous Fleet Vehicle Routing Problem

Unlike the vehicle routing problem where a homogenous fleet is used, a heterogeneous fleet is used in heterogeneous fleet vehicle routing problem.

Each vehicle differs from other vehicles in terms of its properties, capacity, fixed cost and variable travelling costs. The purpose is to find the route of fleet which will minimize the total cost while serving for all the customers (Wassan, 2016, p.14).

### **1.2.5 Vehicle Routing Problem with Time Windows**

Vehicle Routing Problem with Time Windows is a special situation of the vehicle routing problem. It has a complexity containing the earliest and the latest service times. It deals with the time window in which each customer determines the periods of service time. The Vehicle Routing Problem with Time Window is divided into two groups; Vehicle Routing Problem with Hard Time Window and Vehicle Routing Problem with Flexible Time Window. In the Vehicle Routing Problem with Hard Time Window, if the distributor arrives before the hours when the distribution is accepted, the distributor waits; if the distributor arrives after the hours when the distribution is accepted, the distribution is not accepted. In the Vehicle Routing Problem with Flexible Time Window, time limits can be made flexible against the certain cost (Taşkın and Emel, 2009, p.101-102).

## **2. Material and Method**

In this study, the vehicle routing problem was examined as the split delivery vehicle routing problem. The split delivery vehicle routing problem is an extended version of the classical vehicle routing problem. In the split delivery vehicle routing problem, it is allowed that several vehicles serve for a customer, thus the demand of a customer can be split among a few vehicles travelling in different routes and thus total distance travelled by the fleet is minimized. The cost of a solution can be potentially minimized by 50% by allowing the split deliveries (Gulczynski et al., 2010, p.612).

The split delivery vehicle routing problem was presented by Droru and Trodu in 1990s. Until today, various exact and heuristic solution algorithms have been proposed for this problem. This problem is NP-hard problem which provides optimum solutions for the customer less than 30 (Archetti and Speranza, 2012, p.3).

In split delivery vehicle routing problem, the demand of any customer can be met by more than one vehicles, the vehicles are identical, and the purpose is to find the optimum route for each vehicle. While aiming to minimize the total cost, the capacity constraints must be taken into the consideration and all of the demands must be met. Demand of each customer can be met by providing service with several vehicles upon assigning each customer to at least one route. The capacity of any vehicle

must not be lower than the demands of the customer to whom the vehicle will serve. Each route starts and finishes at the depot and at least one customer is visited. The split delivery vehicle routing problem is one of the most frequent problems in practice (Taşkın and Emel, 2009, p.103).

There are different studies in the literature with regard to the split delivery vehicle routing problem. Dror and Trudeau (1994) used branch and bound algorithm; Archetti et al. (2006), and Bolduc et al.(2008), used taboo search algorithm; Jin et al.(2008), used a column generation technique; and Silva et al.(2015), used the iterated local search heuristics for the problem. Gulczynsk et al.(2011), proposed a solution procedure which combines a mixed integer programming algorithm and registered travel algorithm. Chen et al.(2007), Ho and Haugland (2004) and Aleman and Hill (2010) proposed taboo search based solution methods; Broudia et al., (2007) proposed memetic algorithm-based solution methods and Wilck and Cavalier (2012) proposed genetic algorithm-based solution methods.

The integer programming model proposed by Dror et al.(1994, p.240-241), for the split delivery vehicle routing problem was used for this problem and its mathematical model is given below:

$G = (N, A)$ : is a graph

where:

$N = \{0, \dots, n\}$ : customer points

$A = \{(i, j) : i, j \in N, i \neq j\}$ : edge set

0: depot point

m: number of vehicles in the depot

Parameters:

$Q_v$ : v. capacity of vehicle

$q_i$ : i. demand of the city,  $q_i \leq \max_v \{Q_v\}$

$c_{ij}$ : cost of travelling from the city i to the city j

Decision Variables:

$x_{ijv} : \begin{cases} 1, & \text{v. if vehicle travels from the city i to the city j} \\ 0, & \text{in other case} \end{cases}$

$y_{iv}$ : rate of the vehicle v. meeting the demand of the city i

Objective Function:

$$\text{Minimum } z = \sum_{i=0}^n \sum_{j=0}^n \sum_{v=1}^m c_{ij} * x_{ijv} \tag{2.1}$$

Constraints:

$$\sum_{i=0}^n x_{ikv} - \sum_{j=0}^n x_{kjh} = 0 \quad k = 0, \dots, n ; v = 1, \dots, n \tag{2.2}$$

$$\sum_{v=1}^m y_{ij} = 1 \quad i = 1, \dots, n \tag{2.3}$$

$$\sum_{i=1}^n q_i y_{iv} \leq Q_v \quad v = 1, \dots, m \tag{2.4}$$

$$\sum_{j=0}^n x_{ijv} \geq y_{iv} \quad i = 1, \dots, n ; v = 1, \dots, m \tag{2.5}$$

$$u(i) - u(j) + n \sum_{v=1}^m x_{ijv} \leq n-1 \quad \forall i, j \in N ; \forall v \in m ; i \neq j \tag{2.6}$$

$$\sum_{v=1}^m \sum_{j=0}^n x_{ijv} \geq \sum_{v=1}^m y_{iv} = 1 \quad i = 1, \dots, n \tag{2.7}$$

$$x_{ijv} \in \{0,1\} \quad i, j = 0, \dots, n ; v = 1, \dots, m \tag{2.8}$$

$$0 \leq y_{iv} \leq 1 \quad i = 1, \dots, n ; v = 1, \dots, m \tag{2.9}$$

The objective function (2.1) aims to minimize the total cost of route. If vehicle  $v$  arrives from the city  $i$  to the city  $j$ , the cost to be incurred needs to be minimized. The constraint (2.2) is the vehicle flow constraint. The vehicle flow constraint is the constraint where the vehicle flows to all of the cities on the route. The constraint (2.3) expresses that total rate of the city's demand met has to be definitely equal to 1. The vehicle will meet the demand of the city that the vehicle arrives, and then leaves the city. If the demand is met, it will be 1; if the demand is not meet, it will be 0. The constraint (2.4) states that the demand of the city multiplied by the rate of the city's demand met with the vehicle will not exceed the capacity. The constraint (2.5) indicates that the rate  $y_{iv}$  can be maximum 1. The constraint (2.6) is a sub-tour elimination constraint. Here, the sub-tour eliminator "u" is an artificial variable added to the model. The sub-tour formation means the generation of a route where the vehicle cannot travel all of the cities and this constraint enables that the vehicle visits all of the cities. The constraint (2.7) expresses that the city can be visited more than once since the deliveries are of splittable nature. The constraint (2.8) is a constraint, which is 1 if the vehicle with the capacity  $v$  travels from the city  $i$  to the city  $j$ , and which is 0 in other case. The constraint (2.9) shows that the rate

of the city's demand met by the vehicle is a binary variable. It ensures total of the pickup demands not to exceed the capacity of the vehicle on the route and prevents the generation of sub-tours.

### 3. Practice

An optimum vehicle routing to minimize the transport costs of a logistics company operating in Turkey for Germany, Austria, France, Belgium, Netherlands, Denmark, Switzerland, Norway, Sweden, Hungary and Russia was carried out in this study. The company provides the distribution services to 8 cities in Germany; 5 cities in Austria; 3 cities in France; 4 cities in Belgium; 3 cities in the Netherlands; 3 cities in Denmark; 3 cities in Switzerland; 3 cities in Norway; 3 cities in Sweden; 5 cities in Hungary, and 6 cities in Russia. The company has customers to whom it renders service of a standard distribution in these cities. There are vehicles for each country. These vehicles provide the distribution service to the customers within the country. The company has 36 vehicles having 20 tons/80 m<sup>3</sup> and the length-width-height dimensions of 13.60x2.42x2.60 meters. The distribution is provided with these vehicles. Tables (1-11) show the intercity transportation costs in each country. The intercity transportation costs are calculated in Euro based on the distance between two cities (km) and the amount of fuel used.

**Table 1** *The distribution cities in Germany and the transportation costs (Euro)*

Germany	Berlin	Stuttgart	Cologne	Dusseldorf	Bremen	Hamburg	Munich	Hannover
Berlin	-	246	226	220	125	118	240	124
Stuttgart	246	-	125	185	246	250	118	218
Cologne	226	125	-	85	125	186	226	122
Dusseldorf	220	185	85	-	122	185	223	119
Bremen	125	246	125	122	-	95	350	98
Hamburg	118	250	186	185	95	-	322	100
Munich	240	118	226	223	350	322	-	310
Hannover	124	218	122	119	98	100	310	-

**Table 2** *The distribution cities in Austria and the transportation costs (Euro)*

Austria	Vienna	Linz	Graz	Salzburg	Innsbruck
Vienna	-	72	80	112	186
Linz	72	-	102	95	155
Graz	80	102	-	109	178
Salzburg	112	95	109	-	80
Innsbruck	186	155	178	80	-

**Table 3** *The distribution cities in France and the transportation costs (Euro)*

France	Strasbourg	Lyon	Paris
Strasbourg	-	185	190
Lyon	185	-	181
Paris	190	181	-

**Table 4** *The distribution cities in Belgium and the transportation costs (Euro)*

Belgium	Brussels	Antwerp	Liege	Mons
Brussels	-	22	38	25
Antwerp	22	-	52	42
Liege	38	52	-	49
Mons	25	42	49	-

**Table 5** *The distribution cities in the Netherlands and the transportation costs (Euro)*

Netherlands	Eindhoven	Amsterdam	Rotterdam
Eindhoven	-	48	42
Amsterdam	48	-	30
Rotterdam	42	30	-

**Table 6** *The distribution cities in Denmark and the transportation costs (Euro)*

Denmark	Copenhagen	Aarhus	Padborg
Copenhagen	-	73	121
Aarhus	73	-	63
Padborg	121	63	-

**Table 7** *The distribution cities in Switzerland and the transportation costs (Euro)*

Switzerland	Basel	Zurich	Geneva
Basel	-	34	99
Zurich	34	-	108
Geneva	99	105	-

**Table 8** *The distribution cities in Norway and the transportation costs (Euro)*

Norway	Oslo	Bergen	Trondheim
Oslo	-	181	193
Bergen	181	-	273
Trondheim	193	273	-

**Table 9** *The distribution cities in Sweden and the transportation costs (Euro)*

Sweden	Stockholm	Sodertalje	Norrkoping
Stockholm	-	14	15
Sodertalje	15	-	50
Norrkoping	15	50	-

**Table 10** *The distribution cities in Hungary and the transportation costs (Euro)*

Hungary	Budapest	Szeged	Kecskemet	Gyor	Kaposvar
Budapest	-	68	35	47	73
Szeged	68	-	35	110	88
Kecskemet	35	35	-	78	57
Gyor	47	110	78	-	84
Kaposvar	73	88	57	84	-

**Table 11** *The distribution cities in Russia and the transportation costs (Euro)*

Russia	St.Petersburg	Moscow	Krasnodar	Kostroma	Rostov	Belgorod
St.Petersburg	-	668	780	333	702	540
Moscow	668	-	528	134	420	261
Krasnodar	780	528	-	660	551	395
Kostroma	333	134	660	-	555	397
Rostov	702	420	551	555	-	275
Belgorod	540	261	395	397	275	-

The company provides the service of distribution with 10 vehicles for the customers in Germany; 3 vehicles for the customers in Austria; 3 vehicles for the customers in France; 3 vehicles for the customers in Belgium; 2 vehicles for the customers in Netherlands; 2 vehicles for the customers in Denmark; 2 vehicles for the customers in Switzerland; 2 vehicles for the customers in Norway; 2 vehicles for the customers in Sweden; 2 vehicles for the customers in Hungary, and 4 vehicles for the customers in Russia. Tables (12-16) show the demands of the customers in these countries and the capacities of the vehicles.

**Table 12** *The demands of the customers and the vehicle capacities for Germany and Austria*

Germany	Demand	Number of Vehicle	Vehicle Capacity	Austria	Demand	Number of Vehicle	Vehicle Capacity
Berlin	80	1	198	Vienna	24	1	110
Stuttgart	30	2	197	Linz	38	2	120
Cologne	53	3	196	Graz	19	3	185
Dusseldorf	68	4	120	Salzburg	34		
Bremen	97	5	115	Innsbruck	17		
Hamburg	45	6	164				
Munich	48	7	138				
Hannover	34	8	146				
		9	112				
		10	110				

**Table 13** *The demands of the customers and the vehicle capacities for France and Belgium*

France	Demand	Number of Vehicle	Vehicle Capacity	Belgium	Demand	Number of Vehicle	Vehicle Capacity
Strasbourg	47	1	110	Brussels	27	1	100
Lyon	120	2	134	Antwerp	19	2	112
Paris	33	3	112	Liege	14		
				Mons	13		

**Table 14** *The demands of the customers and the vehicle capacities for Netherlands and Denmark*

Netherlands	Demand	Number of Vehicle	Vehicle Capacity	Denmark	Demand	Number of Vehicle	Vehicle Capacity
Eindhoven	28	1	100	Copenhagen	27	1	100
Amsterdam	17	2	112	Aarhus	23	2	112
Rotterdam	13			Padborg	25		

**Table 15** *The demands of the customers and the vehicle capacities for Switzerland and Norway*

Switzerland	Demand	Number of Vehicle	Vehicle Capacity	Norway	Demand	Number of Vehicle	Vehicle Capacity
Basel	29	1	100	Oslo	11	1	100
Zurich	18	2	112	Bergen	13	2	112
Geneva	21			Trondheim	25		

**Table 16** *The demands of the customers and the vehicle capacities for Sweden, Hungary and Russia*

Sweden	Demand	Number of Vehicle	Vehicle Capacity	Hungary	Demand	Number of Vehicle	Vehicle Capacity
Stockholm	12	1	100	Budapest	15	1	100
Sodertalje	18	2	112	Szeged	16	2	112
Norrkoping	13			Kecskemet	19	3	198
				Gyor	41		
				Kaposvar	37		

Russia	Demand	Number of Vehicle	Vehicle Capacity
St Petersburg	45	1	155
Moscow	63	2	112
Krasnodar	12	3	110
Kostroma	41	4	100
Rostov	62	5	138
Belgorod	38	6	162

The integer programming model suggested by Dror et al.(1994), for the split delivery vehicle routing problems was solved with the help of LINGO 6.0 program using these data.

The model was run for 10 vehicles and 8 cities in Germany. According to the results obtained, 3 vehicles left for the distribution. The vehicle no.1 followed the routes 1-5-1-8-2-7-1 (Berlin, Bremen, Berlin, Stuttgart, Munich, Berlin), the vehicle no.3 followed the routes 1-3-4-1-8-1 (Berlin, Cologne, Dusseldorf, Berlin, Hannover, Berlin), the vehicle no.6 followed the routes 1-6-1 (Berlin, Hamburg, Berlin) and these vehicles met the demands of the city. The vehicles no. 2,4 and 5 did not provide the distribution services due to the aforementioned vehicles, and thus, the costs were improved.

The model was run for 3 vehicles and 5 cities in Austria. According to the results obtained, 2 vehicles left for the distribution. The vehicle no.1 followed the routes 1-3-1 (Vienna, Graz, Vienna), the vehicle no.2 followed the routes 1-3-4-5-1 (Vienna, Linz, Salzburg, Innsbruck, Vienna). The vehicles no. 3 did not provide the distribution services due to the aforementioned vehicles, and thus, the costs were improved.

The model was run for 3 vehicles and 3 cities in France. According to the results obtained, 2 vehicles left for the distribution. The vehicle no.1 followed the routes 1-3-1 (Strasbourg, Paris, Strasbourg), the vehicle no.2 followed the routes 1-2-1 (Strasbourg, Lyon, Strasbourg). The vehicles no. 3 did not provide the distribution services due to the aforementioned vehicles, and thus, the costs were improved.

The model was run for 2 vehicles and 4 cities in Belgium. According to the results obtained, 1 vehicles left for the distribution. The vehicle no.1 followed the routes 1-2-3-4-1(Brussels, Antwerp, Liege ,Mons, Brussels). The vehicles no. 2 did not provide the distribution services due to the aforementioned vehicles, and thus, the costs were improved.

The model was run for 2 vehicles and 3 cities in Netherlands. According to the results obtained, 1 vehicles left for the distribution. The vehicle no.1 followed the routes 1-3-2-1 (Eindhoven, Amsterdam, Rotterdam, Eindhoven). The vehicles no. 2 did not provide the distribution services due to the aforementioned vehicles, and thus, the costs were improved.

The model was run for 2 vehicles and 3 cities in Denmark. According to the results obtained, 1 vehicles left for the distribution. The vehicle no.1 followed the routes 1-3-2-1 (Copenhagen, Aarhus, Padborg, Copenhagen).

The vehicles no. 2 did not provide the distribution services due to the aforementioned vehicles, and thus, the costs were improved.

The model was run for 2 vehicles and 3 cities in Switzerland. According to the results obtained, 1 vehicles left for the distribution. The vehicle no.1 followed the routes 1-3-2-1 (Basel, Geneva, Zurich, Basel). The vehicles no. 2 did not provide the distribution services due to the aforementioned vehicles, and thus, the costs were improved.

The model was run for 2 vehicles and 3 cities in Norway. According to the results obtained, 1 vehicles left for the distribution. The vehicle no.1 followed the routes 1-3-2-1 (Oslo, Trondheim, Bergen, Oslo). The vehicles no. 2 did not provide the distribution services due to the aforementioned vehicles, and thus, the costs were improved.

The model was run for 2 vehicles and 3 cities in Sweden. According to the results obtained, 1 vehicles left for the distribution. The vehicle no.1 followed the routes 1-3-2-1 (Stockholm, Norrköping, Södertälje, Stockholm). The vehicles no. 2 did not provide the distribution services due to the aforementioned vehicles, and thus, the costs were improved.

The model was run for 3 vehicles and 5 cities in Hungary. According to the results obtained, 2 vehicles left for the distribution. The vehicle no.1 followed the routes 1-4-3-2-1(Budapest, Győr, Kecskemét, Szeged, Budapest), the vehicle no.2 followed the routes 1-4-5-1(Budapest, Győr, Kaposvár, Budapest). The vehicles no. 3 did not provide the distribution services due to the aforementioned vehicles, and thus, the costs were improved.

The model was run for 6 vehicles and 6 cities in Russia. According to the results obtained, 3 vehicles left for the distribution. The vehicle no.1 followed the routes 1-2-1-5-3-6-1(St. Petersburg, Moscow, St. Petersburg, Rostov, Krasnodar, Belgorod, St. Petersburg), the vehicle no.2 followed the routes 1-4-1(St. Petersburg, Krostroma, St. Petersburg), the vehicle no.3 followed the routes 1-6-4-2-1(St. Petersburg, Belgorod, Krostroma, Moscow, St. Petersburg) and these vehicles met the demands of the city. The vehicles no 4,5 and 6 did not provide the distribution services due to the aforementioned vehicles, and thus, the costs were improved.

#### **4. Conclusion and Recommendations**

Vehicle routing problems are involved at the center of logistics activities. The solution approaches developed for these problems have both economic and environmental effect on the transportation modes such

as road transport, railway transport, maritime transport and air transport which are very important for the logistics.

An optimum vehicle routing to minimize the transport costs of a logistics company operating in Turkey for Germany, Austria, France, Belgium, Netherlands, Denmark, Switzerland, Norway, Sweden, Hungary and Russia was carried out in this study. The vehicle routing problem was examined as the split delivery vehicle routing problem and solved with the help of LINGO 6.0 program, an integer programming model. The results revealed that the proposed approach provided satisfactory solutions.

In the future studies; the heuristic and metaheuristics algorithms to offer goods solutions in very short time can be developed for large scale real-life problems. The model developed can be combined with the algorithms which can produce dominant solutions to optimize more than one purposes.

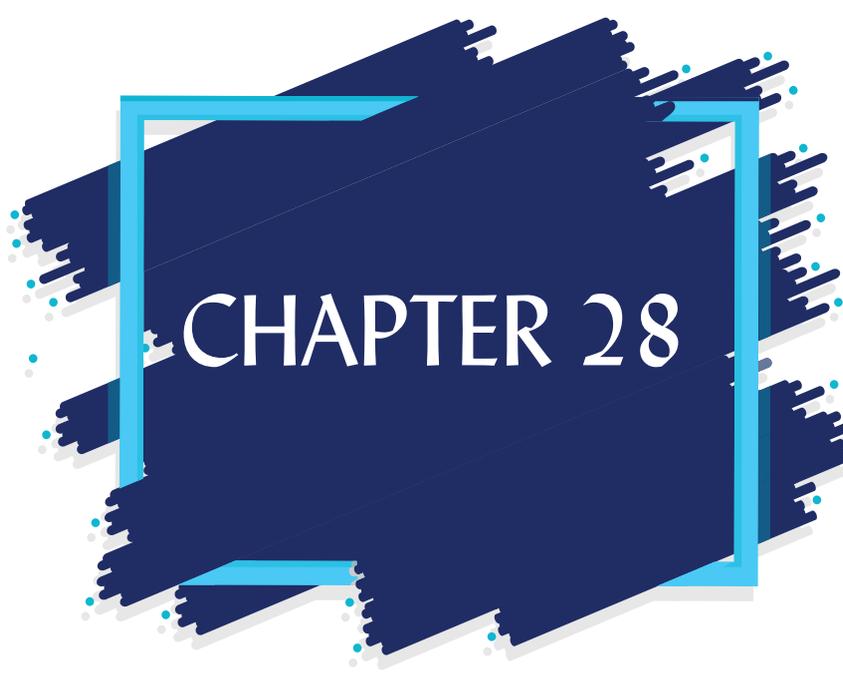
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**THE CONCEPT OF  
CIVILIZATION IN MEDIEVAL  
MUSLIMS: URBANITY AND  
RURAL THOUGHT**

**Yunus ARİFOĞLU**



**CHAPTER 28**





## THE CONCEPT OF CIVILIZATION IN MEDIEVAL MUSLIMS: URBANITY AND RURAL THOUGHT

Yunus ARİFOĞLU

### INTRODUCTION

There are two important factors that determine human nature. One of them is heredity and the other is environment. In the middle Ages, the impact of the environment on humans was known. This can be seen in the classification and description of the world in the works of Islamic geographers. The difference between the two life styles has affected management, business, food and format of production. At the same time, dietary patterns due to differences in both places have changed. The geography and the conditions created by it have determined the human nature and temperament. In addition, their vision, philosophy, art and even their understanding of science were influenced by this (Hudûdu'l-Âlem, 2008; Istahrî, 1967; Ibn Havkal, 1939; Maqdisî, 1992; Ibn Haldun, 2016).

The life style of the human being who has to live in a community has determined their character and gave direction to them. In the middle ages, there were three kinds of community life: city, village and nomad. According to Ibn Khaldun, human societies started living in the mountains, forests, caves and wilderness, and in time they moved to tents and from there to the villages, towns and cities where they built palaces and pavilions. The emergence of civilization became possible in the city with public works. City life is the highest point people can reach. A society reaches its maturity through the city (İbn Haldun, 2016).

Civilization is something that emerges in the Medina to Farabî. Medina is a city. Civilization belongs to the city (Farabî, 2015) According to Ibn Haldun, this means public work. To him, the statement is more general. Public work is the Medina and public work is also the city (Ibn Haldun, 2016). The city was built with a political community. Islamic society first became a political community in Mecca, and then this group formed the Medina / State in Medina (Ibn Ishaq 2012).

The human mind is an empty plate. Man's first state, is a pure form. He takes the habit of his environment while in communication. The idea that human beings are shaped by the environment goes back to ancient times. Generally, those who propose this are those who have the knowledge of geography. It was the ancient Greeks who disciplined the geography for the first time, and Ptolemy was the first to classify the world. Islamic geographers learned geography primarily from ancient geographers.

Afterwards, geography became a branch of science in Islamic civilization and different schools emerged in this branch. Under the influence of Ptolemy, Islamic geographers divided the world into seven climates and stated that civilization life took place in the 3rd, 4th and 5th climates. They saw the developed and civilized regions of the world in these three climates and interpreted the civilization on this axis. (Hudûdu'l-Âlem, 2008; Istahri, 1967; Ibn Havkal, 1939; Maqdisî, 1992).

Medieval Islamic geographers up to Ibn Khaldun have indicated the impact of human geography in an indirect way. Ibn Khaldun evaluated the effect of geography on human theoretically and in detail. In (Hudûdu'l-Alem, 2008, 35) *“The geography of a region, water, air, soil and climate are the main determinants there. These factors shape people. Then religion, law, faith are shaped accordingly. Management occurs on the scale of these facilities.”* the impact of the environment on human is seen among human geographers.

Istahrî defines the world and while he indicates the places he visits he points to places in the 3rd, 4th and 5th climate regions (Istahrî, 1967). Ibn Havkal also draws a similar path. His note is important for learning the perception of civilization in the medieval world. For example, he states that he does not consider it necessary to visit Inner Africa and that it has no contribution to civilization (Ibn Havkal, 1939). Makdisî gave the most exhaustive work in human geography. He marks the three climatic regions of the world that are liveable (Makdisi, 1992). Mesudî gives information about the continuous change of geography, climatic characteristics and the formation of the peoples accordingly (Mesudî, 2011: 9). In general, Islamic geographers have classified the world as civilized areas with the expressions of developed and residential (Hudûdu'l-Âlem, 2008; Istahrî, 1967; Ibn Havkal, 1939; Maqdisi, 1992).

## **1. Place, Management and Business Sense**

According to Ibn Haldun, man is the child and the product of customs and acquaintances and the occurrence of the human character is the result of the conditions in which he exists. In summary, human being is the child of the geography and conditions created by that geography (Ibn Haldun, 2016: 330, 399).

In the medieval Islamic world, the first and pure form of something was defined as bedavet (nomadic life). This is the first and natural state of human communities. Badiye is the base of cities and towns. Urbanity at this time was called hadaret. Hadaret means stagnation and readiness. To be ready and is to find peace. It means finding something, reaching

perfection. Bedavet represents purity, while hadaret represents change, in other words, distortion (Ibn Haldun, 326-327).

The city is the place that manages to gather people under a political roof. The word city means human unity, that is, society. Man is a living that thinks and speaks. People have become a community because they speak and communicate with others. This made him political. Therefore, a political community built the city rationally. In the city man is with man and against him. There is the relationship of ownership. Aristotle states that belonging consists of ownership (Aristotle, 2017). This feeling is an important element of the city. Struggle in city life is among the people. Therefore, relations between people are getting cruel. Communication and transportation facilities are high here. Therefore, the interaction rate is intense. The flow of daily life and contact with other cities is an important difference in urban life compared to rural areas.

In the countryside, the element to be fought is geography. There is a struggle against nature here. There is defence and protection against nature. Getting used to difficult geographic conditions here has become a character. Another determinant is the climatic conditions originating from geography. The business and food shows development depending on climate in rural areas. Another important factor is the number and diversity of people. Communication and transportation are limited. Therefore, the interaction is small. In everyday life, the functioning is calm.

There is ruler at every urban society. The ruler has property and an organization. The head of the rural community is the chief (reis). This is a nomadic term. There is no systematic organization in rural areas. While there is a regular army in the city, all the tribal members can become soldiers in rural areas. In the countryside, while the chief is doing his own work, there are civil servants in the hands of the ruler in the city (Ibn Haldun, 2016, 373, 631; Watt, 2017: 41).

For the society, the head of the tribe is the father. Being a chief has merits. The chief is a person who has great personality and abilities. Chief is a man of power and justice according to the custom. He is loved and respected by the tribe. Decisions are determined and implemented as a result of consultation. In nomadic culture, şuras (council), toys are a nomadic administration. It is not a parliament. It protects people from violating the rights and law of people in rural areas (Watt, 2017: 41).

In the countryside, the whole set of laws and rules are a ceremony that occurs over time. Property in the city is everything. It is the state itself. There is a hierarchical organization that protects this property. Here the

ruler's orders are final, complies with absolute obedience, non-compliance with it requires penalty. In rural areas, chief is sovereign to the extent that the president is accepted in society his orders are not absolute; also there is no penalty when it is not compliance.

With urbanization, the organization imposes some responsibilities on the individual. Taxes are imposed on behalf of the management. Ruler can be as successful as it maintains the balance. Under unfavourable conditions (such as war and famine) the balance is disrupted. Therefore, taxes are increased. These conditions cause the nature of power to remain bad in memories.

Blood temper is seen in the countryside. It was born out of blood and was fed with a sense of solidarity and belonging. A blood-based temper is seen here intensively. The intense devotion to the feeling of temper in rural areas is the result of harsh living conditions. Here, difficult conditions brought people closer to each other, helped each other, and increased their tendency to protect each other. Due to the diversity of nations in the city, after a while, temper disappears. In the city, due to the reasons that do not require kinship, to share the same land with the same ideal and the same date causes temper (Ibn Haldun, 2016: 373-378).

The mode of production and the culture of consumption that develops accordingly are different in two ways of life. In the city life the division of labour is evident and is done by professionals. In a society where the division of labour becomes clear, there are institutions and organizations. This means the formation of civilization. In rural life, the division of labour is not precise, but rather each individual, family, or wider tribe does its own work. Here, the works are mostly done with collective work.

In rural life; hunting, livestock and agriculture is the provider of livelihood. Science, technique, craft and trade had developed in cities and towns. Raw materials were produced in the countryside. In the city, raw materials were processed by tools and techniques and goods were produced in various forms (Ibn Haldun, 2016: 373-378).

Communication between the city and the countryside happens through shopping. The goods produced in the city were technically valuable and expensive. For this reason, in the countryside, they were generally economically dependent on the townspeople. Products produced in the city and in the countryside exchanged through barter. Commercial communication between the two regions was born. Raw materials were sold from the countryside to the city. In this sense, the urban community has always been ahead of the rural community. However, temper and the

political and military force depending on it became stronger in rural areas. In this case, the rural people prevailed over the citizens (Ibn Haldun, 2016).

## 2. Nutrition Formats, Nature, Habit and Moral Structure

The way of nutrition in rural areas and in the city is different. While the food was consumed fresh in the countryside, the food could remain in the city for a long time. Therefore, the value of the foods consumed in the two regions was different. Here, the food is eaten with seasoning. In the countryside, meals were not seasoned, but were prepared on a simple level. The prosperity and comfort of the city were expanding, the palate was developing, tastes and culture were thinning, arts were emerging and craft branches were developing.

In the countryside there were qualities such as courage, bravery, endurance, daring and chivalry. Emotions are experienced here intensively. Individuals' commitment to each other is high. A great deal of importance is given to the welfare and the works are carried out in consultation. Customs, ritual and tradition are very strong. The governance shaped by a predominantly fair and egalitarian approach prevails (Ibn Haldun, 2016: 323-330).

The difficulty of living in rural areas imposed certain obligations on its members. The spirit of getting used to the difficult geographical conditions and the solidarity developed accordingly carried the purity with it. On the other hand, the conveniences of city life, having a system and the lack of trust anxiety in people were driving people to slow down. In this situation people loses characteristics such as bravery and courage. Safely situations were disappearing. In urban life, the struggle was between people and the relations were becoming brutal in this context. Political subtlety was emerging, mediation was developing.

The temperament of the person consuming fresh food remains the same as the temperament of the person consuming stuck food changes. In terms of working conditions, people living in rural areas discard what they consume without releasing toxins in their bodies, while with the ease of urban life that make people lazy in terms of functionality caused these toxins to remain in the human body and change human temperament. One aspect of nutrition caused naïve in urban life, while it caused rudeness in rural areas.

The most basic necessities were met in the countryside. Life here was based only on living. The aim was to survive, that is, maintenance. The work affected the human temperament. Being courageous and generous

was the cause of this. The temperaments of the countryside were shaped accordingly.

There was organization in city life. As a requirement of the life of the society, cooperation between individuals was developing through various organizations. The citizens lost their temperament such as courage and bravery under the influence of blessing and prosperity in peace and comfort. The city was weakening their human virtues and grace, changing their nature and losing the pure state of man (Ibn Haldun, 2016: 630-631).

### **3. Perspectives / Philosophies**

City life and rural life; each has its own philosophies, different perspectives. Both forms of life, vision, philosophies of life, arts, reading, listening and even understanding of science are different.

Islamic civilization; it is shaped by Arabs, Persians and Turks. Essentially, the Arabs and Turks were the majority of the Islamic civilization, both in time and place. Therefore, Islamic civilization is shaped by the character of these two nations. Generally, both Arabs and Turks were nomadic communities. Although there were Turks who had settled and built the dominant settlements like the Uyghur, the Turks who came to the Mediterranean basin generally came from the steppes of Central Asia. The characteristic structures of both nations were shaped by the geography they came from. They have coloured the Islamic civilization with this structure. The main factor determining the Arab and Turkish culture is the geography where it is located. Geography is the desert in one and steppe in the other. Desert conditions, disappearance and navigation in the desert determined Arab terminology. It has influenced Arab culture. These geographical conditions were also the determinants of Arab language structure. This language, which is Arabic, constitutes the mind world of Islamic civilization (Gunaltay, 2015; Roux, 2018; Pedersen, 2018)

The most important event in rural communities is climate and precipitation that develops depending on it. Unpredictable rainfall has been effective in the formation of people's thoughts, people connected to this dominant state of time to the abundance and scarcity. From this, a fatalist understanding emerged. In the Islamic period, it was entrusted to Allah, the culture, language and concept were renewed and continued to be decisive (Watt, 2017, 41; Belting, 2012: 129-130).

There is no commitment to the place in rural life. Therefore, the matter is ignored. There is a commitment to time in this way of life (Belting, 2012: 129-130). The concept of time is vital in this way of life. Abundance

and death is the work of luck in here. It is left to time. The desert geography and the climate cause this variability and make time valuable. Therefore, everything is attributed to time. Fate is determined over time. It is time itself that determines the market. It is the change of climate conditions. The reference to time is embodied by a God. In the Islamic period, the change<sup>1</sup> of the market and the perception of fate were attributed to God (Watt, 53).

It is not known what time will bring to life, life is changeable. Fortune is therefore important. The management is also fortunate. The state is a term of fortune.<sup>2</sup> it's a changeable thing. The understanding of death is also read through time. Rural conditions and climate are driving this variability (Davutoğlu, 1994: 234).

In nomadic societies, expression is indirect. Everything is tried to be perceived by imagination. Instead of showing, there is a state of waiting to be discovered. Here, images do not occur in the eyes of man, but in the imagination. The moon and the sun are an important character of the nomadic element. The theory of vision was also affected. It is a culture that destroys matter, destroys visibility, vision, and bonds it to imagination and contemplation. The dreams of a human being with their eyes on the horizon in nomadism are wide and rich. Here, vision is influenced by the view of a boundless geography. According to the Muslim Arab scholars affected, seeing is an open-ended and uncertain process. Images do not occur in the eyes of man, but in the imagination. Therefore, the imagination of an extremely abstract and geometric vision was only possible in Arab Islamic culture (Belting, 2012: 38-39, 120).

Nomadic culture in both Arab and Turkish art forms continued in the city. However, with the urbanization, instead of animal figures, geometric and plant motifs started to dominate in art. With the civilization formed with the city, people became involved with people and various sciences, and the direction of art changed. The richness of imagination, a nature gained by nomadism, is reflected in geometry. Geometry is the product of imagination. Therefore, geometric ornaments have become the only symbol of art in Islamic civilization. No system has ever been able to express human respect for the universe with such powerful designs. Symmetry was created with geometry and strong authority was emphasized (Mulayim, 2013: 31, 54, 177-178; Belting, 2012).

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1 When the Prophet was asked to put a price on the market, he refused. Bukhari, Buyu, 34, 42, 51, 71.

2 The wheel of justice, which has an important place in Islamic civilization, explains this situation.

Painting and sculpture have not developed in nomadic societies because these two branches of art depend on space. For this reason, they replaced the paintings and human figures with decoration and plant motifs. This lifestyle, in which painting is forbidden, has been replaced by writing. Reading and looking for familiar eyes was an integral whole. This is why Ibn Heysem readily adapted his theory of perception to writing. In other cultures, writing, which gives the sensual pleasures that painting satisfies, has become an art. The miniature, which took place in the Islamic civilization under the influence of Mongol and Persian in the late period, was the addition of the text in the book. In a sense, it was completing the text. The miniature was always under the yoke of the text. Faith was not the only factor in shaping Islamic architecture. The old experience has been reinterpreted as well as the lifestyle of the new owners. The local element and architecture were influenced by the geography of a nation (Mülayim, 2013: 968, 0; Belting, 2012: 71, 78, 83, 85-90, Pedersen, 2018).

Even scientific theories have been influenced by local culture. In Islamic civilization, light had a physical presence and dominated our perception. Ibn Heysem cleansed his vision processes from any anthropomorphic imagination. Such a path was due to the temper he had gained from the nomadic element. The condition was seen in the Islamic Arab optical geometry and mathematics. This culture and physics and mathematics were brought together, synthesized, Greco-Roman way of seeing was exceeded (Belting, 2012: 38-39, 104, 129-130).

In Islamic civilization, although knowledge is transmitted both in writing and in oral form, it has always prevailed that it is oral if it has to have a unique nomadic nature. Seeing and reading were both seen as acts of perception. For this reason, in this tradition, writing was written speech. He wouldn't describe the speaker. Written expression had no meaning in itself and was a representation of oral communication (Pedersen, 2018: 32-34, 50; Belting, 2012: 78, 117). Reading for an Arab and a Turk was always reading aloud. Challenging and reading songs was regarded in this respect. "Your information is in your books but we keep it in our hearts". This statement also shows that oral culture is more effective than written culture. The method and tradition of oral narrative, "gave notice (haber verdi)" became a part of written culture. For this reason, stories and poems have always been conveyed as oral (Pedersen, 2018: 26, 32, 42, 50).

Rural life was intertwined with nature, and death was seen as part of nature. Therefore, maturity against death has been shown. In this culture, a specified thought of time about death was born. The conditions of the steppe and desert geography have been harmonized and adjusted with the geography. Death has become a psychological calming concept (Watt, 2017: 72).

## Discussion and Conclusion

The impact of environmental factors, one of the two important factors affecting human beings, is known in the middle Ages. This is seen in the classification and description of the world in the works of Islamic geographers. In general, Islamic geographers have classified the world as civilized areas with flourishing and residential expressions.

The environment in which people live; it is understood that urban or rural life imposes different roles on human beings and shapes them in their own conditions. The human was initially seen as an empty plate, and the environment in which it was associated was thought to have formed. In this sense, Ibn Haldun in his statement, he clearly stated the impact of the environment on human beings “Man is the child and the product of customs and acquaintances and he is not the child and the crop of his nature and temperament”.

As the struggle in the city is between people, human relations have developed and every individual has become a political figure. In the countryside, because the geography is the struggle, the defence and protection against nature has come to the fore and human has become an aiding element. Commitment to the sense of temper in rural areas has also emerged as a result of these harsh living conditions. The city has been formed around the same ideal and thought of temper.

One of the important differences between the two lives is the difference in the mode of production and the developing consumption culture. The division of labour in the city is clear and it is understood that there is specialization in almost every job. Jobs in the countryside are mostly seen either by family members or with an entire villager. Foods are consumed fresh in the countryside, as the food can remain in urban life for a long time, temper differ in both parts. People living in rural areas discard what they consume without releasing toxins in their bodies, while with the ease of urban life that make people lazy in terms of functionality caused these toxins to remain in the human body and change human temperament. It is understood that nutrition leads to naivety in urban life and roughness in rural areas.

In nomadic societies, time seems to be an important element. It is not known to whom the time will bring, it is understood that life has a philosophy of turning. The moon and the sun are an important character of the nomadic element. The theory of vision was also affected. The destruction of matter, the meaninglessness of visibility has transformed it into imagination, contemplation, and this has turned into a culture. The

notion that images occur in the imagination, not in the eyes of the human, has gained ground. Everything has been left with imagination. The power of contemplation has become nature in its understanding beyond the power of our perceptions. The narrative was also based on the temper of nomadism. Instead of showing, waiting to explore, that is, the state began to dominate. In other cultures, writing, which gives the sensual pleasures that painting satisfies, has become an art. Geometric ornaments have become the only symbol of the art in Islamic nations. Verbal culture came to the forefront instead of written culture. The writing was valued to the extent that it served the verbal culture.

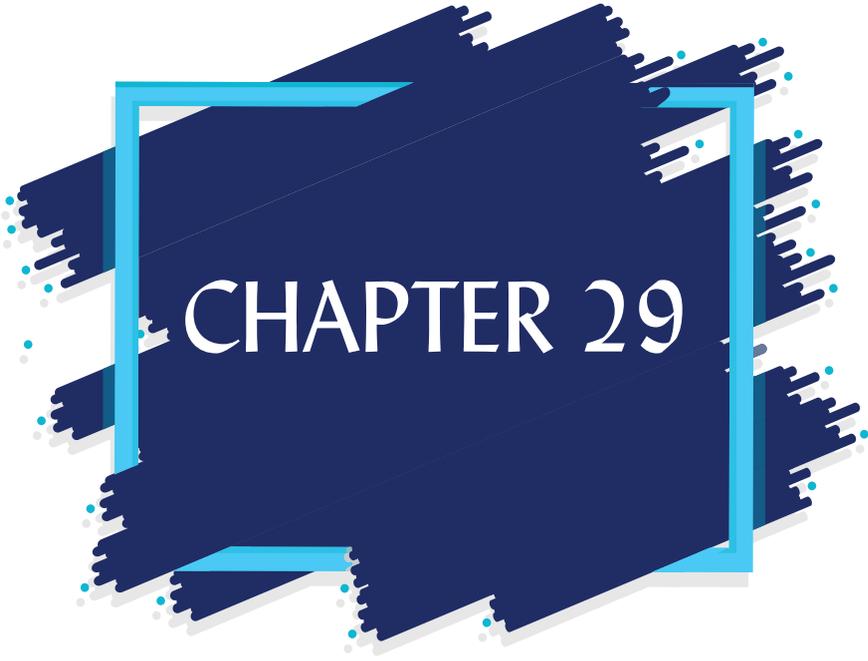
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**DIE POLITISCHE UND RELIGIÖSE  
MASSENBEWEGUNG IM ROMAN  
“DIE VERZAUBERUNG” VON  
HERMANN BROCH**

**Zennube ŞAHİN YILMAZ<sup>1</sup>**



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## DIE POLITISCHE UND RELIGIÖSE MASSENBEWEGUNG IM ROMAN “DIE VERZAUBERUNG” VON HERMANN BROCH

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### Zusammenfassung

Hermann Broch ist einer der bedeutendsten Autoren des 20. Jahrhunderts. Im Mittelpunkt seines Lebens steht das dritte Reich und deswegen erlebt er seit seiner Kindheit immer empfindliche Ereignisse. Die Wirkung der Macht von dem Nationalsozialismus auf die gesellschaftliche Ebene und sein Leben wird intensiv gespürt. Broch kritisiert diese politisch-ideologische Bewegung und das faschistische System wesentlich in seinen Werken, besonders in diesem sogenannten Roman “Die Verzauberung”. Die Massenpsychologie wird mit seiner dichterischen Schreibweise in diesem Roman grundsätzlich dargestellt. Broch beschäftigt sich im Roman auch mit der individuellen und gesellschaftlichen Veränderung der Werte im Leben der Menschheit. Der sozial-politische Konzept des Romans fokussiert sich auf den historischen Hintergrund der Epoche.

**Schlüsselwörter;** *Massenwahn-bewegung, Nationalsozialismus, Wertesystem*

### THE POLITICAL AND RELIGIOUS MASS MOVEMENT IN THE NOVEL “THE SPELL” OF HERMANN BROCH

**Abstract:** Hermann Broch is one of the most important authors of the 20th century. The third realm is at the center of his life and therefore he has always experienced sensitive events since his childhood. The effect of power on National Socialism is felt intensely both on the social level and on its life. Broch criticizes this political-ideological movement and the fascist system essentially in his works, especially in this so-called novel “The Spell”. The mass psychology is basically represented with his diction in this novel. In the novel, Broch also deals with the individual and social change of values in the life of humanity. The social-political concept of the novel focuses on the historical background of the era.

**Keywords;** *Mass delusion movement, National Socialism, value System*

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## I. Einleitung

Hermann Broch ist ein berühmter österreichischer Schriftsteller, der in Wien 1886 geboren und in New Haven 1951 gestorben ist. Die Kindheitseindrücke sind sehr wichtig für seine schriftstellerische Arbeit, weil die frühesten Erlebnisse in seinem Elternhaus auf ihn intensiv wirken. In seinen Schuljahren schreibt Broch einen Brief an seine Mutter vom 10. Mai 1896 über seine Schreibfähigkeit; "Liebe Mama! Ich ergreife meine Handschrift, um Dir meine schriftstellerische Grösse nahezulegen. Merkur der Geldbriefträger der Götter wird dieselbe sich im sicher Port mit Porto bringen. Morgen werde ich noch viel ausführlicher schreiben. Ich habe so wenig Zeit. Es grüsst und küsst Dich wie Tante und wünscht gute Besserung, Dein treuer Sohn Hermann." (Lützel, 31) Das ist auffällig, dass er im neun Jahr von der schriftstellerischen Grösse handelt.

Seit seiner Kindheit sucht er einen Ausweg aus Konfliktsituationen über Krankheiten. Er beklagt sich über einen empfindlichen Magen und die Einhaltung vom Diät. Viele seiner psychischen Probleme stammen aus den Schwierigkeiten seiner Kindheitserlebnisse. (Lützel, 20-26) Broch nimmt in einem Brief an seinen Sohn vom 15. Februar 1949 das Psychogramm der Eltern an die Hand; "Du stammst aus einer schwer-neurotischen Familie. Der Grossvater manisch-depressiv, ungebandigt und dumpf mit genialischen Einschlagen, die Grossmutter eine Zwangsneurotikerin ersten Ranges, dabei von massiger Intelligenz, herrschsüchtig, bockig und eitel; ich könnte die psychologische Situation seitenweise schildern, und es wäre nicht uninteressant, und ebenso liesse sich aus der Schnabel-Broch-Familie in ihrer Gesamtheit geradezu eine Rougon-Macquart-Serie von Romanen aufbauen, ein Höllenbild gutmütiger Schäbigkeit, liebevoller Niedertracht." (Lützel, 27) Broch bearbeitet seine Romanfiguren aus Synthesen aus verschiedenen realen und literarischen Vorbildern.

Die Familie von Broch ist sehr reich, als sein Vater mehrere Textilfabriken besass. Sein Vater entscheidet sich für das eben von Broch, dass er in diesen Textilfabriken arbeiten soll. Broch arbeitet als Direktor in einer dieser Textilfabriken. Nach dem Ersten Weltkrieg muss Broch die Fabriken verkaufen, weil die Textilgeschäfte schlechter gehen. Seine Neigung ist immer zur Literatur. Aber er nimmt als Gasthörer an den Vorlesungen Philosophie, Psychologie und Physik an der Universität Wien teil. Danach lernt er Latein und er hat enge Beziehungen mit Wiener Literaten wie Peter Altenberg, Albert Paris Gütersloh und Alfred Polga. Daraufhin beginnt er, sich für Literatur und Philosophie zu interessieren. (Geradezu Brauch, 1966, Der Spiegel)

## II. Die literaturwissenschaftliche Rezeption von Hermann Broch

Hermann Broch wird durch sein hohes Ansehen angeregt, das die Intelligenz im Wien der Jahrzehnte genießt. Vor und nach dem Ersten Weltkrieg ist die Zeit der fruchtbarsten, originellsten und kreativsten Epochen in Kunst und Architektur, Musik, Literatur, Psychologie und Philosophie. In dieser Ära hat Broch mit seinem hohen Ansehen in Wien einen grossen Einfluss unter den Leuten. Aber 1914 beginnt die Krisenzeit für ihn und Andere. Der junge Assistenzdirektor Broch fühlt sich die nähernde Katastrophe und er stellt die Umriss dieser nähernden Katastrophen in der Kultur in den privaten Notizen *Kultur 1908-1909* fest. Drei Jahre später erstmals liest er seine privaten Notizen in Essayform in einer Zeitschrift publizieren. Damit beginnt sein antreibender Doppelberuf als Fabrikant und Schriftsteller. Er nimmt Kontakt mit Ludwig Ficker im Jahre 1913 auf, der 1910 die Kulturzeitschrift *Der Brenner* begründete. In dieser Zeitschrift publiziert er seinen ersten Essay über eine ins Detail gehende Analyse von Thomas Manns Novelle *Der Tod in Venedig*. Broch liest gerne Thomas Mann, Hermann Hesse und geht regelmässig in die Vorlesungen von Karl Kraus. Deswegen interessiert er sich für die Werke von Thomas Mann. (Kessler- Lützeler, 2016: 5-10)

Als er 41 Jahre alt war, beginnt er, über sein erstes Hauptwerk “Die Schlafwandler” zu arbeiten. Im Jahre 1933 arbeitete er als Bühnenschriftsteller und Filmautor. Nach 1933 ändert sich die politische Grundlage und seine Stelle in der Gesellschaft wird schlechter. 1938 ist er unter den ersten Verhafteten NS-”Anschluß” Österreichs. Danach muss er nach England fliegen. Thomas Mann arrangiert für ihn das Visum und die Übersiedlung nach New York. Nach dieser Verhaftung schreibt er “Der Tod des Vergil” mit dem Chok der Verhaftung. Die Literaturkritiker vergleichen diesen Roman mit dem Werk “Ulysses” von James Joyce. Broch überrascht sich von dem grossen Erfolg dieses Romans und sagt; “Fast frage ich mich, ob das Buch nicht doch von Stefan Zweig geschrieben worden ist.” Ausserdem findet Thomas Mann den Roman “als eine der “höchsten Leistungen deutschen Schrifttums”. (Geradezu Brauch, 1966, Der Spiegel)

Hermann Broch hat keine Anerkennung zu seiner Lebzeit gefunden. Paul Michael Lützeler stellt fest; “Er hat den Rang von James Joyce und Robert Musil, er beeinflusste Elias Canetti und Michel Foucault. Aber wer liest Hermann Broch?” (Lützeler, 2013) Im Jahre 1950 wurde er von europäischen und amerikanischen Schriftstellerkollegen für den Nobelpreis vorgeschlagen. Das Nobelpreis-Komitee in Stockholm

verlangt Bewertungen über Broch und man richtet an die Akademie der Wissenschaften in Wien. Aber die Antwort von Wien nach Stockholm lautet, dass ein Dichter mit dem Namen Hermann Broch in Wien nicht bekannt ist. Broch ist leider spät entdeckt worden. Die Bücher von Broch finden nach 1933 und 1945 in Deutschland wegen politischer und wirtschaftlicher Gründe keinen Anklang. Aber in den angelsächsischen Ländern finden sie starken Beachtung. 1938 wurde Broch in Deutschland verhaftet und zur Emigration gezwungen. Mitte der fünfziger Jahre wurde Broch berühmt mit seinen ersten zehnbändigen Ausgaben in Deutschland. Vor allem die Romane "Die Schlafwandler" und "Der Tod des Vergil" werden viel gelesen. In den fünfziger und sechziger Jahren spielt Broch eine zentrale Rolle des modernen Romans. Dann wird Broch als Verwandten von James Joyce, Andre Gide, Aldous Huxley und Alfred Döblin bezeichnet. Diese neue Kategorisierung ist ein Fortschritt in der Broch-Rezeption. (Lützeler, 2000: 9-10)

### **III. Der magische Hintergrund von "Die Verzauberung"**

"Die Verzauberung" ist als ein Dokument der literarischen Moderne bezeichnet. Das dichterische und politische Engagement bei Broch sind miteinander verflochten. (Lützeler, 2000: 17) Seine politische Theorie ist aktuell immer in seinen Werken. Broch ist in einer europäischen Kulturkrise und religiösen Krise zwischen 1930-1936. In diesen Jahren nimmt er den sogenannten Roman "Die Verzauberung" an die Hand. (Lützeler, 2000: 47) Für diesen Roman erkennt Schon Stössinger, dass die religiöse Kritik von der sozialen nicht trennt. Trommler deutet, dass Broch sich von religiöser Perspektive aus mit dem Nationalsozialismus auseinandersetzt. Winkler bringt zum Ausdruck, dass Broch die politische Realität in Deutschland in seinem religiösen Roman bearbeitet. Mecklenburg schreibt; "Die Verzauberung ist ein mythologisch-religiöser, aber auch ein zeitkritisch-politischer Roman und er ist beides in einem. Denn Broch hat das Zeitgeschehen prinzipiell vor einem Metaphysischen Hintergrund gesehen." (Lützeler, 2000: 52) W.G. Sebald sieht im Roman eine gewisse Nähe zur Ideologie der europäischen Rechten der dreissiger Jahre. Die gesamte Problematik des Romans ist Massenwahn. Der Roman ist nicht nur antifaschistischer Roman sondern auch antimoderner und gegenaufklärerischer Roman. Die politischen Bewegungen sind auf problematische Weise analysiert. (Angelova, Gruber, Lützeler, 2009: 156-159) Der Roman ist anhand zweier populärer Deutungsansätze interpretiert. Historische Perspektive und antifaschistische Bewegung sind der Grundstein des Romans. Historisch-soziologische Deutungsvariante

sind das zentrale und sinnvolle Verständnis des Romans. Der Roman ist ein Produkt der Exilliteratur und man bemerkt sofort diese zeitgeistliche Fassung des Romans. (Baier, 2013: 3-4)

Georg Steiner stellt für diesen Roman so dar; “Die Verzauberung gehört zu den grössten Romanen des zwanzigsten Jahrhunderts und stellt vielleicht eine noch grössere Leistung dar als Thomas Manns “Doktor Faustus”. In beiden Werken geht es darum, auf dichterische Weise die psychologischen Wurzeln des Hitlerismus blosszulegen.” (Broch, 1969) Es geht um das faschistische System in Deutschland und Massenpsychologie im Roman. Steiner vergleicht den Roman von Broch mit dem Roman von Thomas Mann. Er stellt fest, dass der Faschismus und die politischen Ursachen in beiden Romanen auf dichterische Weise an die Hand genommen werden.

Die Literaturwissenschaftler sind der Auffassung, dass dieser Roman ein geeignetes Beispiel für “Massenwahntheorie” ist. Die Massenbewegung im Roman hat einen sowohl politischen als auch religiösen Hintergrund. Die religiösen und politischen Ereignisse sind im Roman miteinander konkretisiert. Es geht um eine Kombination in diesem Bereich. Während Broch an diesem Roman arbeitet, schreibt er seinen Herausgeber Daniel Brody 19 Oktober 1934 darüber, ob die Literatur ein soziales Bedürfnis oder eine Zufriedenheit für die Menschen ist. Broch stellt so dar;

“Und zwar ist es in einer Zeit, die nicht und schon längst nicht mehr zu glauben und zu philosophieren, d.h. religiös zu denken vermag, deren tiefstes Bedürfnis jedoch nach Glauben-können geht und die jedes Surrogat dafür nimmt, ist es in und für eine solche Zeit von äusserster Notwendigkeit, dass man ihr die Möglichkeit des Glaubensaktes, die Entwicklung des Supranaturalen aus dem irrationalen Seelengrund beispielhaft an wirklichen Menschen vor Augen führe. Das ergibt sich natürlich weder katholische noch protestantische noch jüdische Dichtung, sondern ist im Gegenteil von jedweder, also auch von jeder Glaubensdogmatik frei.” (Lützel, Konzett, Riemer, Sammons, 2003: 147-148)

Der Roman fällt mit antifaschisten, religiösen und politischen Merkmalen auf. Broch fasst diesen Inhalt des Romans im obigen Zitat ganz deutlich zusammen. Religiöse Dimensionen im Roman werden mit der nationalsozialistischen Ideologie betont.

Broch kommentiert den Roman so; “Ich habe versucht, mein Problem “Massenpsychisches Geschehen” unter diesen beiden genannten

Gesichtspunkten aufzugreifen. Ich habe den Schauplatz in ein einsames Gebirgsdorf verlegt, dessen Abgeschlossenheit es erlaubt, einfachste Gestaltungslinien zu ziehen, und ich habe die Befragung der Einzelseele im Tagebuch des im Dorfe ansässigen Landarztes niedergelegt; das Tagebuch ist die einfachste und ehrlichste Form, um ein psychisches Geschehen abzuspiegeln, und da Bauern keine Tagebücher führen, musste ich dieses Amt einem Intellektuellen überantworten, dies umso mehr, als einem solchen all die Kritik und Selbstkritik zuzutrauen ist, deren schliessliche Überwältigung durch das Massenpsychische so erstaunlich ist." (Broch, 1969: 383-384) Broch verbindet den Roman mit dem Massengedächtnis. Diese Handlung basiert sich auf das kollektive Gedächtnis. Der Übergang von den individuellen zu den kollektiven Vorstellungen spiegelt sich im Roman wider. Die Güte der Humanität verkörpert sich ganz deutlich. Die Vernichtung der Moral und der Wert der Menschheit sind mit der massenpsychischen Bewegung vorgewiesen.

Broch erzählt von seinen Arbeiten und seinem Roman *Verzauberung*. Er stellt dar, wie seine Arbeiten hervorkommen; "In diesem Roman habe ich versucht, das deutsche Geschehen mit all seinen magischen und mystischen Hintergründen, mit seinen massenwahnartigen Trieben, mit seinernüchternen Blindheit und nüchterne Berauschtigkeit, in seinen Wurzeln aufzudecken, d.h. nicht abzukonterfeien, sondern es auf eine dichterisch einfachste Formel zu bringen, um solchheart das eigentlich Menschliche, wie es aus den Tiefen der Seele und ihrer Naturverbundenheit aufsteigt, zum Ausdruck zu bringen. Meine Hoffnung bei alldem war: die erzieherische Wirkung ethischer Dichtung." (Broch, 1969; 387) Broch zeichnet die Massenpsychologie in diesem Roman ganz deutlich. Er bringt die Ereignisse auf intensive Weise zum Ausdruck.

#### **IV. Die Massenbewegung im Roman**

#### **V. Die Begegnung des Erzählers mit dem Marius Ratti**

Der Roman besteht aus vierzehn titellosen Kapiteln. Die Ereignisse werden von dem Erzähler, der ein Arzt im Dorf ist, in der Form Tagebuch erzählt. Der Erzähler, der Arzt ist, erzählt den ganzen Roman. Der Roman umfasst neun Monate. Der Erzähler beginnt mit dem Roman, indem er die Leser über das Thema des Romans informiert; "Vielleicht wäre es richtiger, mit meiner Kindheit zu beginnen, ja, vielleicht wäre es gütigen, ein kurzes Stück dieser Kindheit wahrhaft festzuhalten und niederzuschreiben, dass es damals ein grosses Stadthaus gab und in ihm

eine Stiegenhalle, in deren oberstem Stockwerk ich stand, (...)” (Broch, 1969: 13) Er macht hier Erklärung, wie und was er schreiben soll. Er will sich an einen Augenblick in seiner Vergangenheit erinnern; “(...) doch ich will des Marztages gedenken, der nun schon Monate, ja, beinahe ein ganzes Jahr zurückliegt, so ferne wie der gestrige Tag, so nahe wie die Kindheit, denn so und nicht anders ist unsere Erinnerung.” (Broch, 1969; 13) Mit diesen Sätzen beginnt der Erzähler, den Roman zu erzählen. Er weiss, dass dieser Tag nicht verschieden von anderen Tagen ist. Aber denkt, dass dieser Tag für ihn eine innere Bedeutung hat. Deswegen will er von diesem Tag handeln. Er stellt dar, was er an jenem Tag erlebt, an den er sich erinnern will. Er behandelt die Patienten, die zu ihm gegangen sind. Dann begegnet er einem Fremden auf der Strasse und beachtet ihn. Er findet sein Aussehen und seinen Gang seltsam; ”Zwischen einer geschwungenen scharfen Nase und einem schon lang nicht rasierten Stoppelkinn hing ihm ein dunkler Gallerschnurrbart über die Mund winkel und machte ihn alter aussehend als er es wahrscheinlich war.” (Broch, 1969; 14) Er beobachtet den Gang des Fremden. Der Fremde verschwindet in der Kirchenstrasse.

Mit dem Kommen eines Fremden Marius Ratti zum Unterdorf ändert sich etwas im Dorf. Niemand kennt ihn. Er beginnt, als Knecht bei dem Bauern Wenter im Unterdorf zu arbeiten. Wenter ist Schwiegersohn von Mutter Gisson. Irmgard, Karl und Zäzilie sind die Enkelkinder von Mutter Gisson. Mit der Einladung von Irmgard kommt Marius Ratti zu ihnen und er beginnt sofort, die Familie tyrannisieren. Der Erzähler nämlich der Arzt im Dorf ist auch dort an jenem Abend. Das Ziel des Fremden Marius Ratti ist eigentlich das Bergwerk zu besitzen. Im Unterdorf macht Marius mit dem Kaufmann Lax eine Zusammenarbeit. Sie rechnen mit der Goldverblendung die Leute. Er kriegt die Menschen des Unterdorfs unter seinen Einfluss sehr leicht mit dem Goldsuchen. Marius gewinnt von Tag zu Tag eine grosse Anhängerschaft. Das Benehmen von Marius ist wie eine Wanderprediger. Er erzählt immer, dass die Menschen einen Opfer für die Erde geben soll. Er ist gegen den Maschinendrusch und Landwirtschaftsmaschinen. Er will die Herrschaft der Frauen auf der Welt brechen, deswegen sagt er immer, dass die Männer mit den Frauen nicht zusammen sein sollen. Aber trotzdem ist er mit Irmgard zusammen.

Am Ende des ersten Teils sagt der Erzähler so; “Dies war der erste Tag, den ich beschreiben wollte.” (Broch, 1969; 21) Er fasst den ersten Teil zusammen. Danach beginnt er, sein Haus zu erzählen. Seit über zehn Jahren wohnt er im Dorf. Er nimmt die ausgeschriebene Stelle eine Gemeindesarztes an. Er kommt als Arzt zu diesem Dorf und in einem plötzlichen Entschluss

wohnt er in dem Haus, das damals ein Schwindelhaus, ein richtiges Inflationshaus ist. Das Dorf ist in zwei Teile geteilt. Ober-Kuppron ist eine Knappensiedlung, Unter-Kuppron ist ein Bauerndorf. Robert Lax ist der erste Gemeinderat und beherrscht die Gemeinde in Unter-Kuppron. Hier befindet sich der Schmied, das Bürgermeisteramt für beide Dörfer, eine gemeinsame katholische Kirche und der Schlächter Sabest und von ihm betriebenes Gemeindegewerkschaftshaus. Zwischen beiden Dörfern gibt es immer Kämpfe über die sozialen Schichten. Die Unterdörfer bezeichnen die Oberdörfer als zweitklassige Menschen.

Der Erzähler sieht wieder den Fremden in der Dunkelheit. Er steht vor dem Haus des Lorenz Miland. Er erkennt ihn sofort. Er fühlt sich, dass es etwas Seltsames bei ihm gibt. Aber er will nicht ihn hassen. Deswegen spricht er mit ihm nicht ; “Ich hatte keine Lust, Herrn Ratti zu hassen, aber weil ich nun schon einmal vor seinem Hause stand, wollte ich meinen Freund Miland besuchen. Ich nickte also dem Ratti bloss zu und trat ein.” (Broch, 1969; 27) Am Sonntag kommt jeder zur Kirche. Marius Ratti kommt auch. Der Erzähler sieht ihn in lässiger Haltung. Es fällt ihm auf, dass es etwas zu viel Rebellion in seiner Haltung ist. Er sieht den Erzähler und schaut in seinen Augen mit dem spöttischen Gruss. Nach der Kirche geht der Erzähler zum Wirtshaus und die Männer sitzen dort. Sie sprechen über das Goldfinden. Miland sagt, dass Marius Ratti sein Knecht ist und er ihn zum Goldsuchen nicht erlauben würde. Marius Ratti bringt zum Ausdruck, dass er nicht für sich selbst sondern für das Dorf und die Dörfer Gold suchen will. Daraufhin gehen sie aus und Suck holt ihn ein. Der Erzähler fragt Suck, was Marius Ratti eigentlich will. Suck sagt, dass Ratti das Dorf und die Dörfer einfangen will. Der Erzähler spricht mit Frau Sabest und sie sagt ihm, dass Peter in den letzten Tagen nicht gut ist. Sie denkt, dass Marius Ratti Peter behext. Sie erzählt, dass Peter mit narrischen Ideen nach Hause kommt. Der Erzähler nämlich der Doctor lacht und sagt, dass es ein Unsinn ist. Frau Sabest will nicht, dass Peter mit Marius Ratti spricht. Das stört sie. Diese Situation ist ein Signal, dass Marius Ratti auf Peter und die Anderen schlecht wirkt.

Im Roman wird Marius Ratti so dargestellt; “Der Marius ist so ein Mensch wie wir, Herr Doctor, ebenso einsam und mit ganu dem gleichen Hass in sich, er ist genau wie wir, er spricht nur aus, was wir denken, den verstehen wir... die christliche Liebe, die verstehen wir nicht mehr, so gerne wir sie verstehen würden, aber wir verstehen, dass das Oberdorf und das Unterdorf an einem Strang ziehen müssten, statt nach links und rechts zu zerren, un wir verstehen, dass die Maschinen schlecht (sind) und die Erde

gut ist.” (Broch, 1969; 226) Mit diesen Sätzen wird die Stelle von Marius in der Handlung erläutert. Der Erzähler begegnet Marius und beurteilt ihn so; “(...), nun erschien mir der Marius mit solchem Gehaben wie ein Wanderprediger einer abstinenter Sekte mit kommunistischem Einschlag, voller Misstrauen war ich gegen das salbungsvolle Getue.” (Broch, 1969: 80) Er bezeichnet ihn als einen Wanderprediger. Zwischen dem Erzähler und Marius Ratti kommt ein Gespräch über die Medizin und Krankheiten hervor. Ratti denkt, dass alle Krankheiten von der Unkeuschheit kommen. Er streckt den Arm des Erzählers aus und sagt ihm; “ Bei Ihnen sitzt es hier.” (Broch, 1969; 82) Er zeigt die linke Schulter des Erzählers. Das stimmt, weil ein Rheumatismus in seiner Schulter und im Oberarm sitzt. Der Erzähler denkt, dass er eine Begabung magnetischer Diagnose besitzt. Er findet das für ihn eine gefährliche Begabung.

## VI. Die Festivalnacht und Massenwahn im Roman

Im Roman beginnt Marius, den Dörfern einzureden, dass die Maschinen zu viel Menschen bratlos gemacht haben und dass deshalb die Kornpreise gefallen sind. “(...) das sind so Weltverbessergedanken, die hat er irgendwo gelesen.” (Broch, 1969; 153) Einige Menschen im Dorf sind einverstanden mit der Goldsucherei von dem Marius.

Nach den Tagen beginnt Marius, den Leuten im Unterdorf etwas Falsches zu erzählen, um Gold zu suchen und das Dorf zu besitzen. “Das ganze Unterdorf haben die beiden schlechten Kerle schon aufgewiegelt.” (Broch, 1969; 178) Der Erzähler trifft Marius auf dem Weg von seinem Haus. Marius sagt ihm, dass es dort mit der Hand gedroschen wird, als ob das sein Verdienst wäre. Die Kleinbauern heroben tun das immer so, weil es praktischer für sie ist. Marius denkt, dass die Menschen dann das Korn hinunterschaffen müssen. Aber der Erzähler spricht ihm wider. Er betont, dass sie die Sacke verladen können und dass es leichter als Garben ist. Daraufhin geht Marius argernd weiter.

Der Erzähler spricht mit dem Schmied. Er sagt ihm, dass Das Gold das Feuer ist. Das Gold, das die Leute holen wollen und um das sie sich streiten, ist nur das Feuer. Deswegen will Marius dieses Feuer beherrschen, eigentlich das Dorf und die Dörfer. “Aber die Menschen wollen immer zum grossen Feuer zurück, und deshalb suchen sie das Gold.” (Broch, 1969; 220) Der Schmied will auch die Welt erlöst haben. “Wenn einer kommt, der die Welt erlösen will, da kann der Doctor nichts mehr machen.” (Broch, 1969; 125) Dieser Satz ist von dem Erzähler des Romans zum Ausdruck

bringt. Die Menschen glauben nicht, dass die Welt erlöst wird. Aber sie glauben, dass der Erlöser hexen und die Leute behexen kann.

Im Gespräch zwischen Miland und dem Erzähler ist die Liebe zum Gott auffallend. Miland denkt, dass der Mensch eine Hand braucht, die ihn leitet, die ihn von Stein zu Stein führt, wenn er verloren geht. Daraufhin erzählt Miland von der Liebe zum Gott;

“Ein Leben lang hat man und lehren wollen, Gott zu lieben, wir haben und bemüht, es ist uns nicht gelungen, er hat es uns zu schwierig gemacht.... Sollen wir nicht statt dessen die Erde lieben? ... man hat und die Wunder der Heiligen zum Verehren gegeben... sollen wir nicht lieber das Wunder verehren, das jedes Jahr it der Ernte da ist? Was soll uns bedeuten, wenn man uns sagt, dass Gott das Erntewunder schafft! Erst wenn wir dieses Wunder selber wirklich erfassen und verehren, dann werden wir vielleicht wieder zu dem kommen, das man uns Gott genannt hat.” (Broch, 1969; 227)

Diese Gedanken von Miland findet der Erzähler seltsam und er denkt, dass diese Gedanken zu Marius gehören. Er kommentiert diese Situation so; “Er war von einer beinahe ansteckenden Überzeugtheit.” (Broch, 1969; 227) Die Menschen wollen Gott nicht, aber sie machen den Marius zum Gottgesandten. Sie denken, dass Marius ohne Grund nicht kommen und dass Gott nur ein Name ist. Miland sagt, “wenn der Zufall in Menschengestalt an uns herantritt, dann ist es kein Zufall mehr... ob ein Mensch so oder so heisst, das mag ein Zufall sein, dass er aber da ist, dass er zu einer bestimmten Stunde gekommen ist, das ist jenseits von Zufall und Namen.... Das ist eben das Schicksal.” (Broch, 1969; 228)

Man fühlt sich die Verzauberung in der Festivalnacht im Dorf. Der Erzähler bemerkt etwas Schlechtes;

“Irgend etwas ging los, irgend etwas war im Gange, etwas Gefährliches und Lockendes, und den Schmied machte es lustig, mich aber bklommen; ich musste mir Gewissheit verschaffen, und ich stand darauf, um kurzerhand zum Kalten Stein hinauf zu gehen, doch nach ein paar Schritten hielt mich eine sonderbare Scheu zurück, (...) So irrte ich unschlüssig um den Tanzenboden herum, auf dem Musik und Stampfen nicht einen Augenblick gerastet hatten. Es war nun völlig dunkel geworden, es wurden die Windlichter angesteckt, einfache Azetylanlaternen, die wie Blechkannen aussahen, ein paar

bei den Buden und vier auf langen Stangen um den Tanzboden herum.” (Broch, 1969; 258-259)

Er wundert sich bloss und schaut den Umgang mit den angstvollen Augen. Er fragt Mutter Gisson, was es jetzt geschehen wird, aber sie antwortet ihm, dass er nicht fragen soll. Der Erzähler findet sich selbst plötzlich in der Tanzpiste;

“War ein allgemeiner Wahnsinn ausgebrochen? Hatte er auch mich ergriffen? Gewiss, ich konnte kaum mehr anders, ich wurde mitgezerrt, ich musste mit, aber ich tat meher, ich liess mich nicht nur mitschleifen, sondern meine Beine sprangen gewissermassen freiwillig mit, ich war in voller Tanzbewegung, die Flüche, die ich ausstossen wollte, erstarrten mir im Munde, Gesicht und Zunge waren gelahmt, und selbst wenn ich einen bösen Puff in den Rücken versetzt erhielt – ich vermute, dass es Wenzel war, der dies immer wieder tat-, brachte ich keinen Laut hervor.” (Broch, 1969; 262)

Am Ende der Nacht soll das Blut eines Opfers für Erde fließen. Dafür fragt Marius Irgard, ob sie bereit ist. Irgard antwortet ihm und die Opferseremonie beginnt. Die Menge schreit “das Opfer” immer. Marius sagt, dass Irgard stirbt. Marius schaut sie und sagt, dass die Erde das Blut von Irgard trinkt. “Die Erde trinkt das Blut, und rein sind wieder ihre Quellen... Kraft und Gerechtigkeit entfliessen ihr wieder.” (Broch, 1969; 280) Marius deklamiert narrisch. Nach diesem Opfer folgen es die üblichen Formalitäten, als ob niemand getötet würde. Jeder war glücklich. Die Menschen denken, dass die Erde mit dem Blut von Irgard wieder lebendig wird. Jedes Jahr veranstalten die Dörfer “Bergsegnen”. In diesen Veranstaltungen wählt das Dorf eine Bergbraut. In dieser Veranstaltung wird Irgard für Bergbraut gewählt. Zuerst dauert die Bergkirchweih in der gewohnten Weise. Aber dann schreit Marius, dass die Bergbraut zur Opferung auftreten soll. Er sagt, dass die Erde das Blut der Bergbraut trinken soll und jeder hört ihn, kein einziges Wort zu sagen. Mit dem Schweigen bejahen sie ihn. Er ruft den Priester, der mit dem heiligen Stahl das Opfer vollziehen soll. Aber daraufhin kommt Sabest sofort und mit dem Schlachtermesser nähert er sich Irgard. Er stösst ihr das Messer. Aber starren die Menschen auf Marius stumm und gebannt. Niemand interessiert sich für den Tod Irgard. Sondern schauen sie nur Marius. Irgard wird zu einem Todesopfer. Der Mörder Sabest fällt in die Kuppronklüfte und stirbt. Aber trotzdem kehren die Dörfer zum Alltag sehr leicht zurück.

Das Elend jener Schrecksnacht dauert nicht so lange. An dem nächsten Tag wird Irmgard begraben. Für die Menschen gibt es nichts zu wundern, aber der Erzähler wundert sich manchmal. Mutter Gisson von Irmgard stirbt auch am Ende des Romans. Der Eingang als Geburt und der Ausgang als Tod sind bezeichnet. Agathes Kind ist geboren und Mutter Gisson ist gestorben. Diese Grenze ist überschritten. Broch kommentiert dieses Ende so;

“Mutter Gisson ist gestorben und Agathe hat ihr Kind. Mir tut es leid, die Feder wegzulegen, denn was soll ich an der Mann an den langen Abenden beginnen, wenn nicht die Ereignisse meines Lebens aufzuzeichnen. Doch soll ich aufschreiben, dass der Marius noch immer im Gemeinderat sitzt? Für wen soll ich dies aufschreiben, da ich doch selber lieber gar nicht daran denken will? Und wenn auch trotz seines narrischen Geredes und Getues so ziemlich alles im alten Gleis geblieben ist, und wenn auch der Bauer alltaglich aufs Feld hinaus fährt und die Kühe alltaglich gemolken werden, und wenn sogar auch im heurigen Jahr mit der Dreschmaschine gearbeitet werden wird, wenn also auch der Gesamtaspekt der Welt sich kaum geandert hat und kaum ändern wird, und die Gehöfte, Hauser und Kotten genau so friedlich daliegen wie ehemals und ihren Rauch zum Himmel hinaufschicken, so kann ich doch weder Irmgards Schicksal vergessen, (...) aber Unrecht ist Vergewaltigung der Menschheit und des Göttlichen im Menschen, und in ihm ist die Quelle des Grauens, in dem auch Irmgard untergegangen ist. Welche Verzauberung! Welcher Irrweg, um zur Natur zurückzukehren! Wie wird die Natur sich dafür noch rächen! Denn die Natur ist es, die den vergewaltigten Geist rächt, denn Geist und Natur sind eins, und für den Menschen gibt es bloss einen Weg zur Natur und zu Ihrer Unendlichkeit, und dies ist der Geist, Gnade des Menschen und seine göttliche Auszeichnung.” (Broch, 1969; 368-369)

Der obige Teil im Roman ist das Nachwort von Hermann Broch. Er fasst den Roman in diesem Zitat zusammen. Der Grad der Verzauberung ist so gross und heftig, dass die Menschen die Realität nicht sehen können. Der Sieg von Marius ist schon angenommen. Mit der Hilfe von Lax wird er in den Gemeinderat gewählt. Die Autorität von Marius ist unbestritten und er ist von jedem im Dorf sehr viel geliebt. Aber eines Tages plötzlich verschwindet er ohne Spur aus dem Dorf. Sein Gehen ist wie sein Kommen zum Dorf spurlos.

Der Erzähler will nicht in diesen Ereignissen sein. Aber im Gegensatz zu diesem Wille findet er sich selbst innerhalb dieser Verzauberung. Am Anfang ist er kritisch zu Marius, aber ohne dass er selbst merkt, befindet er sich in Opferfeier. Trotz dieser Opferveranstaltung ändert sich nichts im Dorf. Aber am Ende des Romans ist die Menschlichkeit verloren gegangen.

## VII. FAZIT

Hermann Broch betont in diesem Roman die Auseinandersetzung mit dem Diktator und dem Faschismus. Die kräftige Darstellung von Broch weist auf die geistliche Atmosphäre und das rituelle Bergfest, das im Zentrum des Romans steht, ganz konkret hin. Er manifestiert den Faschismus auf dichterische Weise. Der Zerfall der Werte oder die Wertesysteme der Menschlichkeit wird von ihm in Betracht gezogen.

Broch gestaltet die Figur Marius Ratti, der die Dörfer unter seinen Bahn bricht. Mit dieser Figur deutet er Hitler und Hitlerismus an. In der Figurenkonstruktion hat Marius Ratti als Leiter der Massenbewegung eine wichtige Rolle im Zentrum der Handlung, weil er die Menschen und besonders Irmgard unter seinen Bann sehr leicht bricht. Sein intensiver Druck auf die Dorfbewohner kann als die diktatorische Macht bezeichnet werden.

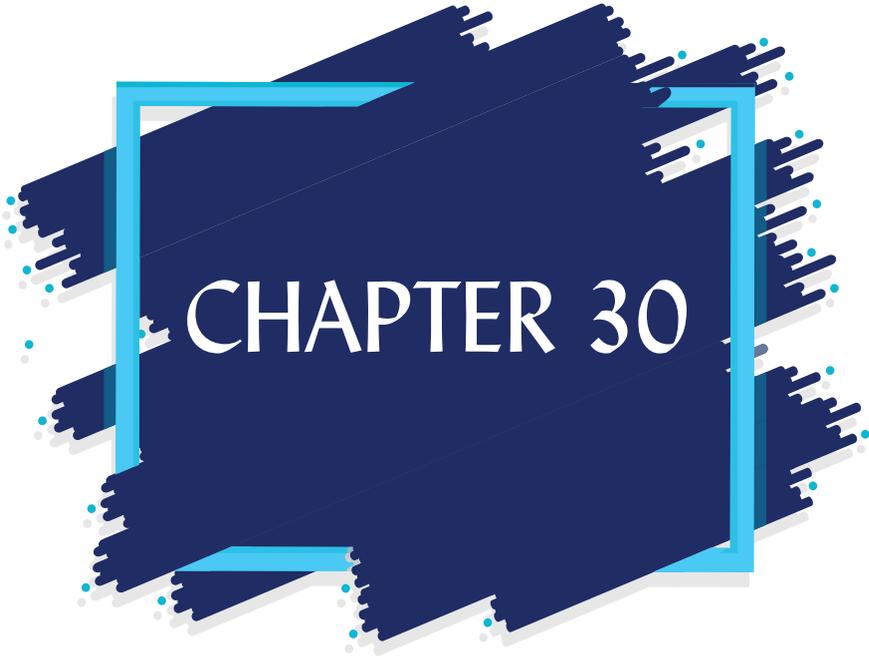
Im Zentrum des Romans steht die Festivalnacht. In dieser Nacht wird das dämonische Todsysteem durch die Bergbraut Irmgard verkörpert. Im Grunde genommen, kann das Opfer eines jungen Mädchens als die Folge der faschist konzipierten Wahnbewegung beurteilt werden. Der Tod von Irmgard für die Erde ist ein wichtiges Symbol der Massebeeinflussung. Die Goldsuche von Marius Ratti kann als Motiv bezeichnet werden. Denn das unschuldige Mädchen Irmgard wird für das Gold nämlich für die Kraft und Macht also Ideologie geopfert und die diktatorische Herrschaft gewinnt mit diesem Tod. Diese Goldsuche, Massenwahn und Opferung verbinden die philosophischen, politischen und mystischen Fassungen miteinander in diesem Romankonzept.

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# THE CHOICE OF LANGUAGE AND FORM IN NOTE- TAKING FOR CONSECUTIVE INTERPRETING

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## THE CHOICE OF LANGUAGE AND FORM IN NOTE-TAKING FOR CONSECUTIVE INTERPRETING

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### 1. INTRODUCTION

Multi-tasking – tasks that have to be completed at the same time with limited and competing capacities or Efforts – is what defines all types of interpreting. Although used at times in simultaneous interpreting by a boothmate, note-taking is one of the major tasks involved in consecutive interpreting. This study aims to seek answers to the following research questions:

1- Which language do interpreting students prefer when taking notes (ST or TT / English or Turkish)?

2- What form of notes do interpreting students prefer? (words, abbreviations or symbols – based on Dam 2004b)

An experiment has been conducted on 10 junior (translation and) interpreting students who have taken the note-taking course for a semester from the author of this paper and are still taking consecutive interpreting course. The experiment will be described in detail following a review and discussion of the approaches to note-taking. The results will be discussed in relation to Gile's Effort Model of the consecutive. Further thoughts and suggestions based on interpreting and teaching experience with respect to note-taking will be presented towards the end of the study.

### 2- Note-taking for consecutive interpreting

Consecutive interpreting is one of the most commonly used types of interpreting. It is mainly used in press releases, press conferences, bilateral meetings, training sessions and similar events. As the statements to be interpreted in consecutive interpreting can vary from a minute to twenty minutes, “a combination of notes, memory and general knowledge” is needed in order to reformulate the message in another language (Gillies 2005:3). Without notes, it is almost impossible to recall all that has been said in an occasion, “particularly if names, dates and figures are involved (Mahmoodzadeh 1992:235). According to Gillies, “the notes taken in consecutive interpreting are a representation of the skeleton structure of

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the speech” (2005:6). Thus, notes, if taken systematically, represent the basic ideas in a speech as well as the relations between them.

There are many studies on the issue of note-taking in conference interpreting. However, the same cannot be said about empirical research on note-taking. Some studies have focused on the descriptive aspect, describing various note-taking systems such as Rozan (1956/2002), Becker (1972), Allioni (1989), Matyssek (1989). Among these descriptive studies, the most fundamental discussion is on whether note-taking systems should be language-dependent or not. Rozan recommends taking notes based on languages, limiting the use of symbols, whereas Matyssek puts forth a language-independent system of notes consisting mainly of symbols referred to as “interpreter’s shorthand” (Ilg & Lambert 1996:72). Other studies are more prescriptive and related to training, for example Bowen & Bowen 1980, Gran & Dodds 1989, Dollerup & Loddegaard 1992, Alexieva 1993, Ilg & Lambert 1996, Jones 1998, Gillies 2001. Empirical studies on note-taking include those by Kirchhoff (1979), Andres (2002), Albl-Mikasa (2008) and Cardoen (2013).

### **3. The choice of language in note-taking**

The choice of language has become a matter of concern in quite a few empirical studies. Dam conducted a pilot study focusing on the interpreters’ choice of form for their notes (symbols vs. language) and their choice of language (source, target, or other languages) (Dam 2004b). In another study, Dam looked at the rationale behind the interpreters’ choice of language, whether the categories to explain this choice are source and target languages or interpreters’ A and B languages (Dam 2004a). She found that it is the latter – the status of the language in the interpreter’s language combination – that governs conference interpreters’ choice of language for their notes rather than its function as a source or target language. However, this finding was challenged by another small scale empirical study (Szabo 2006) in which the author suggests that it is the interpreter’s language combination that plays a key role in his/her choice of note-taking language, regardless of the direction of interpreting. Another paper focuses on language choice through a comparison of specific languages – Polish, English, Swedish, and Finnish – presenting the advantages of taking notes in Finnish and Swedish, also discussing the inclusion of a third language in interpreter training (Blaszczyk & Hanusiak 2010).

### **4. Gile’s Effort Model of consecutive interpreting**

Based on the same principle developed initially for simultaneous interpreting, a similar model was developed for consecutive interpreting.

According to Gile, consecutive interpreting consists of two phases, comprehension and speech production. In phase 1, the efforts involved are Listening and Analysis, Note-taking, Memory, and Coordination whereas in phase 2 the efforts include Remembering, Note-reading, and Production (2009: 175-176).

As can be understood from the summary of this Model above, note-taking is key to a balanced – if not equal – distribution of processing capacity to the Efforts and to a smooth process of interpretation. Unlike simultaneous interpreting, the interpreter sets the pace in phase 2. Thus, the interpreter can allocate processing capacity to each of the three Efforts at his/her own pace, “reducing the pressure on the Coordination component” (Gile 2009: 176). Again, unlike in simultaneous interpreting, the need to distribute processing capacity between various tasks under high cognitive load and time pressure does not exist in consecutive interpreting. The requirements are more of a challenge in the comprehension phase rather than the reformulation phase in consecutive interpreting.

The major distinction between consecutive and simultaneous interpreting is the fact that in the former, speech comprehension and speech production take place separately whereas in the latter they are simultaneous. From the cognitive point of view, this reduces both the pressure on target speech production and on short-term memory (Gile 2009: 177). This is because taking notes allows for more time than producing speech. One might take less notes if and when necessary in consecutive, however slowing down speech production in simultaneous might result in an increase in Memory Effort and might also need to be compensated for later through increasing processing capacity for Production.

Although note-taking might seem to take more time, this is usually not the case as one might use symbols or abbreviations and does not have to take down everything that has been said. It is more common to rely on long-term memory with the help of notes in order to reformulate the speech in the target language in consecutive interpreting whereas in simultaneous full sentences have to be reproduced based on short-term memory. This means that even a short time lag with the original speech might result in a high cost in terms of memory, reducing the capacity allocated to the Listening and Analysis Effort.

The concept of processing capacity is highly relevant in the area of note-taking. According to Gile, “the basic question is how to reduce processing capacity and time requirements of note-taking while maintaining the efficiency of notes as memory reinforcers” (2009: 178). From this point of view, writing, reading and comprehending notes – whether in the form

of words or symbols and abbreviations – should not take up a lot of time or processing capacity which would mean forgoing efficiency. Hence, the interpreter should be competent enough to assess whether using words, symbols or abbreviations is more advantageous in terms of saving time and processing capacity when taking notes. The same logic is valid for the issue of language choice from the perspective of the Effort Model. Accordingly, one might consider the time and processing capacity available for a certain interpreting task – or part of it – while deciding on which language (ST or TT) to prefer when taking notes. Gile suggests “taking notes in the target language when cognitive pressure is not too high and reverting to source-language notes when close to saturation” (2009: 179). This is because ‘translating’ at listening and analysis phase takes up extra time and processing capacity, which might threaten interpreting performance. On the other hand, ‘translating’ at reformulation/ production phase can be considered less risky as it is the interpreter who sets the pace at this phase.

Considering that there is still a lot to discuss, it makes sense to explore the language and form of notes in a language combination that was not studied with respect to note-taking before. It is important to note that the findings and discussions in this paper are confined to the selected languages and the combination of these languages. However, the observations and solutions presented here can be transferred to or further analyzed for other languages and language combinations.

## **5. Experiment**

### **5.1. Aim**

As stated in the introduction, the study set out to explore the issue of language choice during note-taking with respect to English – Turkish as a language combination. Another objective was to find out the form of notes, whether they are words, abbreviations or symbols. Thus, both the language in which the notes are taken, and the form of notes will be explored. In order to seek answers to these questions, an experiment – described below in detail – was conducted.

### **5.2. Material**

The material consisted of a speech text on biodiversity. The text consists of 2534 words, however part of the text (310 words) was selected for the purposes of this experiment. The students were familiar with the topic of the speech text. Previously, the students had class assignments on the same topic. The vocabulary profiling of the text was made in order to ensure that the text was not too difficult for the students to handle. In order to remove

the variable of vocabulary, a vocabulary list consisting of the unfamiliar words in the text was given to the students before the experiment.

### **5.3. Participants**

The participants were ten junior students at Dokuz Eylul University Department of Translation and Interpreting. These students have taken the note-taking course for a semester from the author of this paper and are still taking the consecutive interpreting course. All of them have Turkish as A language and English as B language.

### **5.4. Method**

The students were asked to interpret a short speech consecutively making use of their notes. They were told that their performances would be recorded and their notes would be collected. The experiment was conducted at Dokuz Eylul University Department of Translation and Interpreting. A native speaker read the speech text in advance and an audio recording was obtained. The students listened to the speech, took notes, and interpreted the speech in the consecutive mode. Each performance was made individually on a one-time basis so that the students hear the speech only once and are not influenced by their peers' performances.

## **6. Results**

### **6.1. The choice of language**

The first issue addressed in this paper is that of language choice. As discussed in Sections 3 and 4 above, taking notes in the target language and source language has been a controversial issue extensively debated in the literature. It seems useful to take notes in the target language as it requires an in-depth analysis and understanding of the text and facilitates speech production in the target language. On the other hand, one can disagree with this position claiming that taking notes in the TL requires more time and effort by the interpreter at the listening and analysis phase which is still paced by the speaker. This controversy is interesting to look at in interpreters' actual notes in a specific consecutive interpreting task in English – Turkish language combination.

The student interpreters' notes that were represented in words and abbreviations were analyzed in terms of language choice. Symbols were not taken into account in this analysis, as they are language-independent. Words and abbreviations were categorized as those in the source language (English) and those in the target language (Turkish). Table 1 below

indicates the distribution of student interpreters' notes over source (SL) and target (TL) languages.

**Table 1.** *The choice of language in student interpreters' notes.*

Language	S1	S2	S3	S4	S5	S6	S7	S8	S9	S10
SL	195 (100%)	137 (100%)	151 (100%)	129 (100%)	112 (100%)	135 (98%)	130 (98.5%)	144 (91.7%)	134 (96.4%)	115 (100%)
TL	-	-	-	-	-	2 (2%)	2 (1.5%)	13 (8.3%)	5 (3.6%)	-
Total	195	137	151	129	112	137	132	157	139	115

## 6.2. The form of notes

The second point dealt with in this paper is the form of notes taken. The category of words includes the full words that have been taken down. The category of abbreviations includes the units that represent part of a word and also acronyms. It can be a well-known acronym like the UN, however it can also be an acronym coined by the interpreter. The category of symbols consists of everything that is not language. Table 2 below indicates the distribution of student interpreters' notes over these three categories of note forms.

**Table 2.** *The form of student interpreters' notes.*

Note form	S1	S2	S3	S4	S5	S6	S7	S8	S9	S10
Words	160 (78.9%)	106 (74.1%)	66 (40.2%)	95 (74.3%)	57 (48.3%)	68 (45%) (45.8%)	77 (49.1%)	85 (49.1%)	76 (46.6%)	64 (42.7%)
Abbreviations	35 (17.2%)	31 (21.7%)	85 (51.9%)	28 (21.8%)	55 (46.6%)	69 (45.7%)	55 (32.7%)	72 (41.7%)	63 (38.7%)	51 (34%)
Symbols	8 (3.9%)	6 (4.2%)	13 (7.9%)	5 (3.9%)	6 (5.1%)	14 (9.3%)	36 (23.8%)	16 (9.2%) (14.7%)	24 (14.7%)	35 (23.3%)
Total units	203	143	164	128	118	151	168	173	163	150

## 7. Discussion and Conclusions

Based on the analysis of the student interpreters' notes and the transcriptions of their interpreting performances, the following conclusions became clear as answers to the research questions stated in the introduction to this study:

1. The first aspect that was examined in the students' notes and transcriptions was language choice. As mentioned above, only words and abbreviations were taken into account in this analysis. Symbols were not included due to their non-language nature. When Table 1 is examined, it is seen that there is a clear tendency on the interpreters' part towards taking notes in the source language.

Interestingly, 6 among 10 interpreters preferred to take all their notes in SL. Only Student 8 took some of his notes in TL, but these notes correspond only to 8% of all of his notes. This might prove the scholars who are in favor of taking notes in SL right, however, as mentioned above, this finding cannot be generalized to other languages or even other tasks. When viewed from the perspective of the Effort Model, it might be assumed that the students worked close to saturation level; the task was a challenge for them and they preferred ‘translating’ at phase 2 rather than at phase 1, possibly due to time pressure and the high cognitive load, in order not to threaten interpreting performance. Gile states that taking notes in TL “requires more processing capacity than writing them in the source language because of the capacity required for conversion” (1995: 182). Thus, due to high capacity requirements for listening and analysis, the students had less processing capacity for note-taking, which led to a source-language strategy.

2. The second question addressed was the form of notes. Here various patterns are observed. Whereas Students 1, 2, and 4 opt for taking notes in full words (around 70%), other students’ notes exhibit a more even distribution of words and abbreviations. In fact, Student 3 used more abbreviations than words (51%). The rate of symbols is relatively low, the highest rate (23%) pertaining to Students 7 and 10. The students obviously do not rely much on symbols in this case. With respect to abbreviations, although a few well-known acronyms were spotted, most abbreviations consisted of a shortened form of words. It can be assumed that various patterns observed reflect different requirements and different levels of capacity allocated to the Listening and Analysis Effort.

Case-specific, or rather task-specific, answers were found to the research questions asked in the introduction to this study. With respect to both questions, the findings put forth ‘what is’ rather than ‘why’. Regarding the second question, no meaningful correlation between the amount of total note units and the amount of words, abbreviations, or symbols was observed. Although the research questions were answered, generalizations cannot be made out of this study. However, the study could be replicated in various versions; e.g. by changing the source and target languages in the same language combination or by looking at the status of the source or target language in the students’ language combination (L1 or L2). By doing so, the reasons underlying the choice of language in note-taking could be revealed. Of course, different texts/ tasks and different language combinations would also yield valuable data. Likewise, the form

of notes could be further analyzed. Although a pattern exists with respect to language choice, one cannot talk about any pattern regarding the form of notes in this case. Is the low rate of symbols due to this specific interpreting task or personal or professional characteristics of the student interpreters, such as experience and training? Another question can be on the frequent use of abbreviations. Thus, one can say more questions are raised than the answers given, which are hoped to serve as a point of departure for future studies on note-taking.

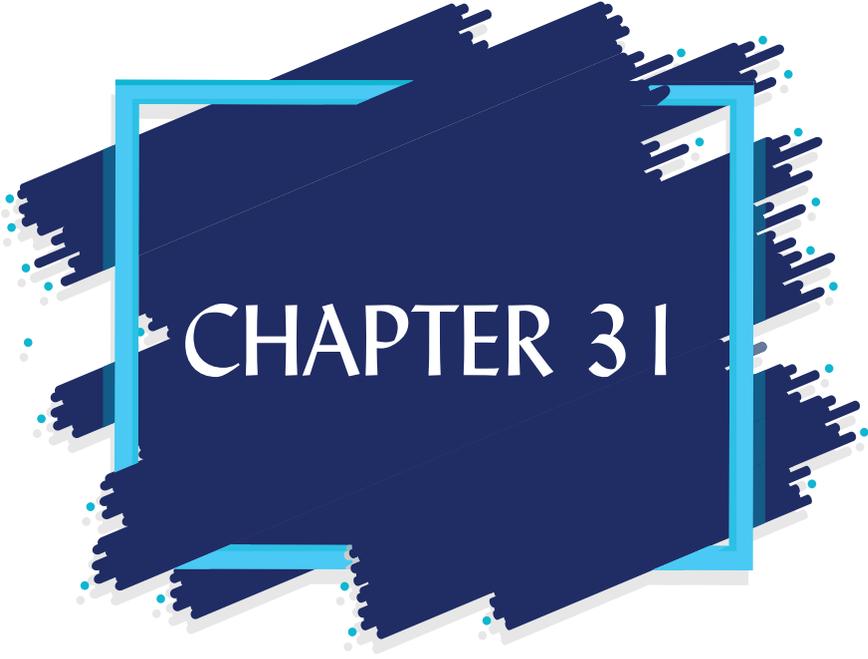
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# INFORMAL EMPLOYMENT IN TURKEY, CAUSES, CONSEQUENCES AND SOLUTIONS

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## INFORMAL EMPLOYMENT IN TURKEY, CAUSES, CONSEQUENCES AND SOLUTIONS

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### INTRODUCTION:

The entry of the informal economy into academic literature began in the aftermath of World War II, and the interest in this issue has increased since the 1970s (Bozkurt, 2014, 42). Certainly, the informality existed as before these dates, it also existed later and still will continue to exist at certain rates. In fact, the states have been trying to record economic activity for centuries. For instance, Thomas Hobbes who was one of the most important theorists of modern state structures, dwells on importance of formal economy. Under the title of granting absolute rights to the citizens, Hobbes says that *“The fifth idea that leads to the disintegration of the state is the this: everyone has an absolute right of ownership in their property. Indeed, everybody has absolute right of property : but it takes this right from the sovereign power. If it were not been safeguard power of Monarchs , everyone would have equal rights over the same thing. But if the right of sovereignty of monarch has been excluded; it can not do them the duty to protect both from external enemies and from hurting each other. In the end, the state does not exist”* (Hobbes, 2007: 228). It is also seen that modern states based on Hobbes’ state theories act with the principle of obtaining absolute dominance. Modern state has to be absolute sovereign to be able to sustain its existence. This obligation has been felt in the Ottoman Empire onwards the 1700s, and many arrangements have been done to re-organize the state, beginning with military regimes. Despite all the modernization efforts, Ottoman Empire could not complete the adventure of modernization, the ideals of the modernization of the state has devolved to Republic of Turkey. The founding members of the new republic have tried to achieve a transformation at the level of society and state with a consistent paradigm in itself. The basic proposals of modern state theories have been tried to be realized since the founding of the republic. However, many of these regulations had not been produced the desired results. Some administrative and social changes have adopted by the society but some arrangements have been rejected and resisted by the society. It can be said that some resistance has been shown to the fully registered economy targets. Peddling is crime and unregistered economic activity. However, according to the point of view of the society; street trading (peddling) is the effort of

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providing the livelihood of the families and is valuable. In this case, it is not possible to effectively combat with street trading (peddling). As a result; it's not possible to prevent street trading only by legal sanctions and criminal practices.

## **1. INFORMAL ECONOMY**

The unregistered economy is defined as avoiding, totally or partly from the documentation procedures set by the public authority (Temel, Vd., 1994:17). When an informal economy is said, all economic activities which do not participate in GNP (Gross National Product) accounts are mentioned. Zaim emphasizes three aspects of three distinctive features of the informal economy. These are confidentiality, immorality and informality. Confidentiality is to work out of the limits of the legislator. Immorality; what is done is also wrong in social norms of morality. Countlessness is not to be able to be measured the Works that are done statistically. (Zaim, 1997:8). The informal economy is covered in three parts in functional context. These are illegal activities or underground economy, semi-registered economy, economy that is not be entered in any record (Aydemir, 1994:76). In all three aspects, the common denominator is keeping away from the taxation which is the state's main income is kept away. In 1993, the United Nations established a framework for the National Accounts Convention on how to determine the informal economy, and in 2002, published the "Guide to the Unexamined Economy" was published to put some methods for measuring the informal economy by the OECD. It is stated in the book that the productions that people make for themselves should be excluded from GNP calculations. In this case, if the person harvests for himself or his family in the garden of the house, on the ground, etc., this harvesting business is excluded from the Gross National Product calculations. However, this activity should be included in GNP if this small production is sold on the road side, on the internet etc. While illegal activities (gambling, theft, drugs, etc.) are excluded from the gross national product accounts, it is unclear whether the persons employed in these jobs will be reflected in GNP accounts (Koç, 2016:87). Some researchers have classified the economy as registered, unregistered and illegal (Fidan, Genç, 2013:138).

### **1.1. DIMENSIONS OF UNREGISTERED ECONOMY**

It is not easy to determine the dimensions of the informal economy by nature. As well as different methods have been developed by various researchers in this area, the results obtained from these methods are inconsistent. For example, according to a survey conducted by the State

Planning Organization in 2001, the informal economy reached 40% of the registered economy. According to the survey, the registered GNP in 2001 was 179.5 billion TL while the unregistered GNP was 118.9 billion TL. (Derdiyok, 1993, s56). In the comparative study of Schindle covering 115 countries in 2000, the proportion of informal economy in Turkey was determined as 32.10% (Oguztürk, Ünal, 2017:331). On the other hand in the estimates made by different researchers with using different methods between 1997-2001, informality rate figures are quite different from each other between %9 and 66.2% in Turkey (Bozkurt, 2014:53). As it is seen, the results for the same date range are quite different from each other. For this reason, it is also put emphasis on the provision of a methodology which prevents obtaining very different results. The Tenth Development Plan which is published by Ministry of Development Chair of Revenues in 2005 covering the years 2014-2018, the Decrease in the Unregistered Economy Program Action Plan documents the ratio of the informal economy to the GNP is specified as 24% and for the year 2018, this ratio is targeted to be reduced to 21.5% (GİB, 2015). In the same action plan, December 2017 is determined as deadline for a measurement study which takes into consideration Turkey's conditions and according to the news in the media this studies have been started under the leadership of Friedrich Schneider as from January, 2017 (Hürriyet:2017). Turkey Statistical Institute (Turkstat) have measured informal employment comprehensively for many years. Unregistered employment rate was measured as 33.9% by Turkey Statistical Institute in the measurements belong to November 2017 (Tuik, 2017).

The unregistered economy is a problem of which growing rate has increased since 80s in all over the world. The world average of the size of the informal economy is 31%. (Koç, 2016:86). While informality appears all over the world at a certain rate, informality is lower in economically developed countries, and informality is higher in economically less developed countries. Turkey's informal economy rate is higher when it is compared to USA and European countries. For example, the informal economy / national income ratio is between 0-10% in France, Germany, Japan, Norway, Switzerland and England; 10-20 per cent in Belgium, Canada, Italy and the United States; Between 10 and 50 percent in India; It is calculated as 40 per cent in Peru (Altuğ, 1994:59).

### **1.1.1. Illegal Activities (Underground Economy)**

Illegal activities which is the other form of unregistered economy, are legally prohibited activities. Such activities are generally not welcomed by society and moral norms too. These activities can not be registered

because of legally banned. anyway. In the condition of being determined the informal economy, while those concerned are only punished with tax penalties, those who do illegal activities are punished with imprisonment and penalty fine in the laws apart from the tax penalties. Aydemir has listed these types of jobs as weapons, drugs, trafficking, forgery, checks and deed collection, usury, bribery, trafficking, organ trading, visa trade, and illegal work (Aydemir, 1995:44). However, we consider that these type of nonlegal activities should be distinguished as being inherently illegal and non-illegal. The document which was published by OECD in 2001 is in this direction. In other words, smuggling is actually a trade however; because of being illegal trade, it is assessed as an informal economy and underground activity. However, acts such as bribery, organ trade, wage murder etc. are inherently illegal and gains from that kinds of activities should not even be named as economy. There is a fundamental difference between economic activities in this class and others. While it is necessary to register unregistered work, it is a rule to abolish the existence of illegal activities.

### **1.1.2. Semi-registered Economy**

The activities of such enterprises are legal. Nevertheless, Despite legal actions, a large part of the revenues from these activities are excluded from the registration. For this reason their activities are within the scope of semi-registered economy. Many businesses which want to pay less tax, and undertake less expense load but also do not want to take a big risk from a financial point of view, records some activities but they exclude a significant part of their activities. Such entrepreneurs can take place in almost every sector. In such enterprises, the size of informality is usually determined by the specific structure of the sector. Activities which is carried out in some sectors could be more easily excluded from the register, because it is very difficult to identify and supervise these activities (Aydemir, 1994:18). In this context, self-employed persons, real estate agents, car dealers, construction sector and suppliers, furniture sector and suppliers, textile sector, foreign exchange and jewelry sector, agricultural sector can be expressed. Everyone who deals with these things is not definitely a part of the informal economy and is not the tax evader. It should not be overlooked that there are people and organizations that try to comply with the law and try to pay the tax fully in every sector. Some sectors are easily auditable. It is possible to overcome the unregistered consequences of applying certain sanctions at every stage of the activities of the enterprises which are easily auditable. However, informal work is seen as an advantage by the malicious people in the sectors that are difficult to control. Therefore, those who operate in

these sectors have difficulties in preventing informality because of having a tendency to hide a large part of their incomes.

### **1.1.3. Economy Never Takes Records**

In every economy, some of those who actively carry out their economic activities can operate out of the knowledge of tax administrations. These people do not have any records in tax administration. Street vendors, porters, the ones they found empty as parking lots, vegetable-fruit sellers who do not enter into municipalities, small-scale producers and traders without a specific business, live animal trade, small-scale repair and maintenance work, working in the service sector, tips workers; these can be given as an example of group activities (Aydemir, 1995:76). The difficulty and smallness of the identification of the activities mentioned above the sum of their activities actually constitutes an important dimension of the informal economy.

## **1.2. BENEFITS AND RETURNS OF UNREGISTERED ECONOMY**

As stated in the beginning, informality is not acceptable fact with regard to modern states. While the informal economy reduces the incomes of the state from one side, it also prevents the realization of the main purposes of the state from the other side. The two most important issues after public security in maintaining the existence of States are: social justice and to increase social well-being. The informal economy is a serious obstacle to the achievement of these goals by the state. Because of the non-compliance with tax payment and other public regulations in the informal economy, cheaper production leads to unfair competition between recorded transactions and informal transactions. In addition to unfair competition, it is expressed that the informal economy has lowered the sectoral productivity and pulled it backwards (Turan, 2012:68). The increase in informal activities leads to the deterioration of the moral values of the society, the establishment of mentalities such as free-riding, short-distance corners, and the spread of illegal activities. The spread of illegal activities reduces the confidence of individuals in state authority. As a consequence of their reduced confidence in the state, they may go on the path of solving their problems through illegal means. In this context, the informal economy creates a revolt against the state (economic anarchy), so that its social moral values begin to corrupt (Altuğ, 1994:71). On the other hand, budget deficits resulting from the government's reduction in tax revenues are met with loan or coining. If budget deficits are met through borrowing, interest rates rises. The increase in interest rates increases the investment costs of the private sector and

therefore reduces economic investments. The decrease in investments, on the other hand, increases unemployment and causes unemployed masses to work in the informal economy. The cost of public borrowing is also increasing due to the increasing interest rates resulting from the financing of budget deficits through borrowing, thus the budget deficits are further increased. The increase in interest rates increases the investment costs of the private sector and therefore reduces economic investments. The decrease in investments, on the other hand, increases unemployment and causes unemployed masses to work in the informal economy. The cost of public borrowing is also increasing due to the increasing interest rates resulting from the financing of budget deficits through borrowing, thus the budget deficits are further increased. The fact that the budget deficits are paid by printing money through the central bank causes the inflation rate to rise and thus the income distribution to deteriorate. While keeping a non-systematic player (unregistered businesses) in a certain position may be tolerated to a certain level, problems will also rise as the rate increases. For example, public services provided to taxpayers and the disproportionate contribution of these taxpayers will not satisfy the taxpayers, and they will be able to push them to the informal sector. As a result of such a reaction, it is feared that the state will be in a difficult situation in the financing of public goods necessary for economy and society. The countries where the informal economy has grown the most, as it creates unfair competition conditions among the informal enterprises; inflation is constant, income is unfairly distributed, and the economy is out of control (Dura, 1997:10).

Apart from all these negative consequences, the informal economy can also have useful aspects in some conditions. The assumptions about the registered economy are often expressed in an idealized romanticism. In this case a situation similar to the physics formulas which accepts friction as zero is emerging. In real life, however, there is no zero friction environment on the world plane. Real life is rough and resistance. For example, when it is possible to enroll all of the existing institutions, many businesses will face bankruptcy or downsizing, unable to withstand competition conditions. But the existence of the informal economy softens this situation in a certain way. So many who will be unemployed are hired by the informal economy (even at the expense of inefficient work and low wages). This function can be thought of as a kind of social insurance. In other words, with the employment opportunities created by the informal economy, it is effective in reducing the “absolute” poverty in a certain way. These economies can be more competitive as the informal economy has a considerable cost advantage due to the fact that payments such as taxes and social security premiums are not made or incomplete. As a result, these enterprises contribute economic dynamism. As the informal economy carries creative

elements, the informal economy alleviates poverty and contributes positively to income distribution, which is the result of preventing social explosions. As a result; Taxes not given to the state are mostly returns reproduction, employment and investment (Altuğ, 1994:67). As a matter of fact, ILO and World Bank reports emphasize the social injustice-reducing function of the informal economy (Koç, 2016:86).

## **2. UNREGISTERED EMPLOYMENT**

There is a strong relationship between the informal economy and informal employment. As a matter of fact, the informal economy is headed by unregistered employment. For this reason, informal economy and informal employment should be evaluated together. The main factors generating unregistered employment in Turkey is the height of share in the total economy of agriculture and small family businesses. Although in recent years the government has taken significant steps towards registering the agriculture sector and serious regulations have been made, most of the agricultural workers who are still farming their land in the villages are working informally. In addition, the entrepreneurial families who try to live in slums of the city after the migration from the village to the village are another important factor in informality. These families establish their own family businesses and gain competitive advantage in their businesses with the unregistered domestic labor model. It is known that such businesses is worked their family members unregistered until they reach a certain size. Another important factor besides these two main factors is the heavy obligations on businesses. In other words, it is a paradigm of financing public deficits by increasing the financial and social obligations of businesses.

### **2.1. DIMENSIONS OF INFORMAL EMPLOYMENT”**

Informal employment is divided into full informal employment and under-informed informal employment (Fidan, Genç, 2013:140). According to TÜİK's 2017 measurements, the total unregistered employment rate is 33.9% and the informal employment rate in agriculture is %84.5. Again according to 2017 data, the informality rate in males is 29.3% and in females it is 44.1%. While the informality rate in non-agricultural sectors is 21.8% in total, this rate is realized as 21% in males and 24.1% in females. According to statistics, women are working more informally than men (Tuik, 2017). Agricultural sector generates the largest proportion of informal employment in Turkey. When the figures are analyzed in detail, it is seen that as the migration of the labor force towards the non-agricultural sectors from the agricultural sector increases, the informality rate also decreases (Bektaş, 1998, p. 158). On the other hand, there is no

significant development in the number of wage earners due to the high level of employment in agriculture, the inadequacy of the industry to create a large employment capacity, and the small and medium business structure. Almost half of those who involved in employment are not registered to any security institution. For example, the number of employees who have never been registered in total employment is around 10 million in 2003 and 11 million in 2004 (Koray, 2012:59). Of this figures, about 3 million are self-employed and 2.8 million are unpaid family workers. In addition, the fact that some sectors are difficult to control also increases the informal economy and employment. At the beginning of the sectors which are difficult to control; sectors that use raw materials based on agriculture and agriculture (eg textiles) are comes.

## **2.2. CAUSES OF INFORMAL EMPLOYMENT**

There are many factors that cause informal employment. Generally, in the public opinion, the issue is addressed with an economic perspective and the financial burdens on individuals and businesses are emphasized. However, in the formation of informal employment, there are many other factors from social moral level to individual psychological factors. In this context, law - society harmonization (correct law making), order - control ability (enforceable law making), social moral level should be specified as priority reasons.

### **2.1.1. High Unemployment Rate**

Our country has been facing chronic high unemployment problem for many years. Unemployment (Tuik, 2017), which was 10.3% as of October 2017, has could not been reduced to single-digit figures for many years. When the unemployment rate is high, workers have less chance of resistance and bargaining. Thus, workers with a high desire for job seeking, especially disadvantaged groups, have to be willing to accept informal employment. A microanalysis study have shown that women were 1.8 times more informal than men. According to the results of the same study, those who are over 55 years old are 2.5 times more than young people, those who are not high school graduates, 2.3 times higher than university graduates, those who work in agriculture sector and 2.42 times higher than the industry sector (Fidan, Genç, 2013:146).

### **2.2.2. Tax on Registered Businesses and Social Insurance Institution Load**

It is often stated that the tax system in our country is an obstacle to saving, investment, employment. It has also emphasized that Turkey tax

system increasing informal economy and informal employment. As is known, some deductions such as personal insurance premiums, union dues, special discounts and disability reductions are deducted from the payments made by the employer and the benefits provided by the employer, and the income is taxed in the source. The tax rate varies in Turkey is changes according to the size of the tax base between 40% and 15%. The high cost of employment due to tax, insurance and similar interruptions has been expressed as an important factor for both worker and employer to drive informal employment (Ağbal, 2002:44). According to OECD data, Turkey in the OECD countries in the period 1985-2001 has increased the tax burden in the highest level. For example, the ratio of the taxes, to the national income increased from 15.4% in 1985 to 35.8% in 2001. Social security premiums and tax burden surged to 36% in 2001, leaving behind rich countries like Canada, Australia, USA, Ireland and Japan. With these rates Turkey, it has risen to the same level with Germany in terms of tax burden. With these rates Turkey, in the OECD countries in terms of the height of the deductions made from gross wages by the state has began to take in the first place (Özsoylu, 1994:16). Indeed, when the ratio of labor costs of social security contributions of Turkey and OECD countries studied comparatively, Turkey is among the countries with high rates 37,2'lik%. However, in countries where social security costs is highest (Greece, France, Belgium) unregistered employment rate is quite behind the Turkey (Oral G. B. Vd., 2015:123). It is, therefore, not to consider the issue merely in terms of rates and quantities. On the other hand, informality does not occur only with financial burdens, but reducing the burden of high taxes and premiums on the socio-economic conditions of the country should be seen as a right policy.

### **2.2.3. Social Loads on Registered Businesses**

Several social obligations have been introduced to the employers in various laws in order to realize the social aims in our country. The social loads on the registered businesses in our country can be listed thus. Encouragement of Solidarity, Defense Industry Support, Environmental Pollution Prevention Funds, Educational Contributions and so on. payments. Unemployment insurance. Compulsory employment obligations (injured, terror aggrieved and ex-convicted persons and their relatives) so what at the rate 8% of total employment. Indemnities (seniority, denunciation, bad faith compensation, trade union compensation, job security indemnity etc.). Unlike other OECD countries, in Turkey, they are paid a fee for all non-working time. Overtime fee is paid at a higher rate than in EU countries. Obligations stipulated by the Vocational Education Law (numbered 3308) (the necessity of creating a training unit and having a

master instructor, etc.). Obligations to establish sports facilities, establish kindergartens, breastfeeding rooms and nurseries for workplaces with a certain number of workers and their operating costs. The obligations of study workplace physician, lawyer, first aid staff, occupational health and safety specialist, responsible engineer, etc... Obligations brought by environmental legislation and the weight of sanctions. The fines in the Labor Act reach exorbitant amounts because some of them are associated with the minimum wage.

#### **2.2.4. Economic Crisis and Recession Periods**

During periods of economic crisis and stagnation, unemployed masses can look for the opportunities to informal jobs when they can not find employment in the registered economy. Entrepreneurs tend to informal employment in order to minimize the effects of the crisis during crisis periods. Turkey has become a coups and crises country, until the 2000s. On the one hand, economic crises have shaken the economy, while military coups have caused permanent damage to the economy. As a result, the economic crises in Turkey, have caused growth of unregistered economy.

#### **2.2.5. Electronic Commerce and International Transactions**

Changes in the field of communication and telecommunication and the use of the internet have changed the dimension of trade and this new stage of trade has brought serious tax problems in terms of countries. For example; there are differences in tax rates and bases in various countries, and determining which country to use taxation authority can be a problem. At the same time, differences in the types of invoices on which tax institutions are based on taxation weakens tax pursuit. It is possible to add these problems, the difficulties of locating those who perform transactions due to the fact that the company and the customers are in different countries. Such problems mentioned above can lead to the growth of the informal sector.

#### **2.2.6. Intensive Domestic and Foreign Competition**

Along with the trends of national integration and globalization, the competition in foreign trade leads firms to seek cost advantages and cheap labor power. Informality, can mean cost advantage for many entrepreneurs. Similarly, intense domestic competition can lead some businesses to go unregistered economy. In addition, income distribution imbalances and injustices in the country, rapid population growth and immigration to big cities, inflationist structure, resistance to tax payment, injustice in distribution of tax burden, frequent changes in tax laws, frequent tax

exemptions, high taxes and political instability have causes to unregistered economy. The weakness in institutionalization is also a cause of informality. In the analyzes conducted, the informality of the enterprises where fewer than 10 workers are working is 29 times more than the enterprises which 500 persons work (Fidan, Genç, 2013:146).

### **2.2.7. Economic System and Structure of Countries**

The economic system that the countries have and the related structural features can create the basis for informality. In this context, especially the structure in which small enterprises basing on agriculture and service sector are widespread, is an important factor causing to the informality. Because it is difficult to monitor and control these sectors. On the other hand, in agricultural economies where production and consumption are done within the family, the market economy is not used, and the use of money is limited, keeping a record of economic transactions may not be necessary (Toptaş, 1998:21). With the increase of industrialization, the rate of recording economic activities is increasing. Together with technological innovations, work can be divided into simple pieces, cheap labor usage increases and the scale of economic units grows. To the extent that the scale of work grows, all input and output must be recorded. Informal economic activities are mostly carried out by non-corporate entrepreneurs and small businesses. A very large part of the enterprises in our country (98,8 percent) are small and medium sized enterprises. Again, the complexity of the tax system in the framework of this framework, the rigidity of the bureaucratic system, changes in legislation, tax exemptions and other exemptions, coordination problems between public institutions can lead to increased informality (Farmer, 2018:7).

### **2.2.8. Changing Structure of Production**

The second half of the 1970s and especially the 1980s, emerging as a consequence of intensified competition due to the growth of markets and diversification of demand, emerging as a result of restructuring based on flexibility and information based on production, increases informality. As is known, one way of achieving flexibility in production is to reduce the size of the firm. In recent years, many firms that want to provide flexibility have not recruited permanent staff but transferring their production of goods to the small producer firm, apart from a highly qualified core staff dealing with product design and production organization. These enterprises, which are not very expensive establishment cost because of their small size, can have the opportunity to withdraw workers when the demand is reduced, or to keep their wages low by staying out of the collective bargaining

agreement, as well as having low liquidation costs and easy exit expencies. Due to the development of information technology, it's easier to select from any country, small companies that make subcontractor production to major companies to produce goods. In this context, the downsizing of firm sizes increases the share of informal economy in all countries. In underdeveloped countries, the share of subcontracting and unregistered economy is increasing at a greater rate than in developed countries. Especially in that countries which small enterprises are still widespread, it has a high unemployment rate and not have institutions such as collective bargaining and social security.

### **2.2.9. High Profit Greed**

Profit is the most important goal in terms of capitalist morals. For this reason, in capitalist economies, some entrepreneurs who are unconditionally focused on high profits does not see any problem to break the law or stretching the law. It is known that some businesses are tax evaders and tax avoiders, for higher profits. In the same way, businesses may focus on informal employment to avoid tax and Social Security Institution obligations (Fidan, Genç, 2013:140). The topic of high profit greed should not only be evaluated in the context of employers, but also employee should be taken into consideration. Many people in our country are prefer to work informally in order to avoid deduction of the pension, invalidity pension, widow and orphan's pension, unemployment benefit and social assistance benefits in whole or in part. (Çelik, Güney, 2017:219).

### **2.2.10. The Problem of Migration and Refugees**

The political, economic crisis in the neighboring countries and the war causes permanent immigration and refugee in our country. The wave of migration from the Soviet bloc countries for a time, along with the wars of Iraq and Syria, continued with a massive refugee movement. Besides, we have continued to receive some immigration from Turkic Republics, Afghanistan and Iran for years. In the last years immigration to Turkey from Africa countries for illegal work. However, the immense domestic immigration in our country also enlarges the immigration problem (Çelik, Güney, 2017:225). It can be predicted that internal migration will continue for a while, which is the result of dispersion of micro economic regions in our country.

### **3. POLICIES TO BE ENCOURAGED TO ENHANCE EMPLOYMENT AND PREVENTION OF UNREGISTERED EMPLOYMENT**

Informal economy and employment are in a symbiotic relationship that nourish each other. For this reason, informal employment will also be recorded if elements that expose the informal economy or enlarge its dimensions are removed. In order to prevent (or minimize) the informal economy, medium and long-term structural changes are required instead of short-term measures. A lot of work done to prevent informality in Turkey so far, the precautions have been taken. Some of these are measures, based on audit. When the informal employment policies in the world are examined, it is seen that the countries with advanced economies are taking measures to reduce the burden on the institutions, to increase the cooperation among the public institutions, to reduce the bureaucracy, to create social policies that are thought to provide behavior change (Çelik, Güney, 2017:236). These and similar policies are seen to have been implemented in our country. At this point, it is considered that the more effective results will be taken if the conditions that are unique to our country are taken into consideration and integrated processes are put into action instead of disjoint transactional steps.

#### **3.1. Tax Burden Should Be Reduced**

Income Tax, Corporate Tax and VAT (Value-Added Tax) rates should be reduced. For the promotion of investments, the government should bargain with domestic / foreign investors on the basis of defined criteria and transparency. Tax exemptions should be 5-15 years according to employment, technology, export, profit, region, sector criteria. All income transferred to the investment must be exempted from tax. The tax burden on energy should be reduced. Value Added Tax refund time (for exporters), Turkey's level of competing countries, (1 month) should be decreased. Provisional taxation should be abolished or converted into 6-month periods and the rate should be reduced to 10-15%. Additional tax and minimum livelihood standard practices should be abolished. Value Added Tax should be organized according to the collection rates in term sales. Withholding tax should be withheld from dividend distribution. Since the Organized Industrial Zones are obtained from registered-traceable sectors, for that reason the "investment reduction" rate and the exemptions for infrastructure services should be increased to support these zones. A large number of tax payments paid to central and local governments, causing loss of time and labor, should be simplified and a few major qualifications reduced. The tax on the minimum wage and the premium burden of the Social Security Institution should be reduced. The exact placement of the document in the

country is only possible if the buyer is removed from the seller's interest in the state, and a system based on the separation of interests is established. The required arrangements must be made (Tosuner, 1995:67). Informative and explanatory booklets and brochures on new tax regulations should be prepared for taxpayers. It is also important in this context to make laws, regulations and legislation simple and easy for taxpayers (Mavral, 2001:27). Because taxpayers frequently do not know, do not understand, tax legislation is brought face to face, often expressed by experts in the subject (Doğan, 1999, s9).

### **3.2. Social Loads on Businesses should be lightened**

The social burdens on businesses should be kept in perspective, to a level that allows them to achieve their goals of competing and creating jobs. Non-wage labor costs such as Social Security Institution premiums, unemployment insurance, premiums and compensation should be reduced below competitor countries, within the framework of a specific rebate program. In other words, the reduction in social liability should be applied consistently and consistently across all sectors, rather than narrow and temporary. The mitigation of these obligations, especially for unionized and collective bargaining establishments, will also help to improve the trade union system in our country and to narrow the informal sector.

### **3.3. Employment-Based Incentive System Must Be Passed**

The incentive system should be rearranged, incentives should be "employment-based" as in the EU countries. The obligations of the employer who creates additional employment to the state should be reduced. Additional employment incentives should be continuous, not temporary. Law No. 4725 on the postponement of the payment of some of the non-wage payments for the purpose of employment promotion created very positive results with the Law No. 4325 regarding the incentive for additional employment in Development Priority Regions applied in 2002. With the provisions of Law no 4325, in 2002 the state abandoned taxes and premiums amounting to TL 18 Trillion; but ultimately gained 36 trillion liras of tax and premium income; employment increased by 72 thousand persons. With the application of the Law no. 4747, the number of insured persons in SSK increased by 11.1%. This increase rate is above the GNP growth of 7.8%, indicating the importance of the employment-based incentive system.

### **3.4. The minimum bureaucracy should be a principle.**

The bureaucratic system should be renewed in accordance with EU criteria and practices with the principle of “minimum bureaucracy” of developed countries. Legal and administrative procedures and processes should be simplified, facilitated and coordinated between service units. All formalities involving the real sector, including those related to employee employment, should be completed in a single service unit. In this framework, the e-government process should be fastened. Organized Industrial Zones and Small Industry Sites should be solicited and the establishment procedures should be facilitated. Tax, SSK and Bağ-Kur obligations and related services should be carried out with a bureau and mobile service units to be established in Small Industrial Sites and Organized Industrial Zones.

### **3.5. Business Ethics Should Be Improved and Social Printing Mechanisms Should Be Generated**

Informality should be introduced as a moral problem. The law is a compelling force coming from outside. As for morality is the internal control system. No matter how good the external control systems are, their impact power is limited. Therefore, the development of social ethics and work ethics is important in terms of prevention of informality. The foundation of morality are fidelity, nature conformity and sensitivity. Many prophets, thinkers, and opinion leaders said that: not to do something that you do not want to be done to you else is a golden rule, for morality. Not being satisfied for bad things with someone else, should be added to golden rules. Because one of the principles of morality is responsibility and obligation. The environmental print as “peer pressure” in the literature will be one of the useful factors for the decrease of informality (Bozkurt, 2014:54). In this context, the role of public and civil society should be encouraged and provided. In this context, it will be useful to provide business ethics courses in all educational institutions from primary school.

## **4. Conclusion:**

Informality; For Turkey, it has been a long ongoing problem for many years. At the core of the problem are economic, social and administrative problems. Some of these problems that have been going on for many years now have a chronic appearance. On the other hand, with the increase of communication channels, informality is becoming an issue of social order and social justice, not just an economic element. For this reason, urgent measures are necessary to reduce the informal economy and employment. It is obvious that the informal economy and informal

employment are complex multi-dimensional problems and not merely an economic issue. Therefore, proposals for solutions must be comprehensive and multidimensional. Not only financial and administrative measures but also social, human and moral measures should be considered. From the spread of the training of business ethics, to the use of social media circles, the issue must be addressed from all sides. Our country needs to be stable and patient at the same time to solve the problem of informality, which should be handled as a whole with its socioeconomic conditions. The frequent amnesty laws in our country make it impossible to be stable. This kind of applications should now be terminated. It's very vital to prevent unregistered, to be stable and determined. The successes achieved in e-government applications and digital programs in recent years have led to the successful completion of the fight against the informality problem. Successful applications achieved in this direction should be continued and these practices should be supported by social precautions.

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