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## **PREFACE**

Complexities surrounding the globalization and the interconnectedness of nations are creating challenges for nation-states as well as other newly formed political structures. Innovative social, political, and economic structures are being formed and existing structures are being re-formed to adapt to the forces of globalization. With all these changes (and thus innovations), scholars and practitioners are trying to understand how they fit within these complexities and what the future will be like if we do not respond effectively.

Through this conference we brought experts from around the world to share their research and experiences in social sciences, arts and humanities, engineering, technology, to name a few. During the multiple opportunities for discussions and exchange of ideas, we have explored how informing societies help uniting these cultures and, how we should celebrate this unity. Our conference sparked some exceptional conversations around the very meaning of culture and cultural competencies. Our purpose was not “to study is not to consume ideas, but to create and re-create them” as Freire once stated. But with the idea that “learning emerges from the social, cultural and political spaces in which it takes place, and through interactions and relationships” (Nieto, 2000), we have accomplished our goal of sharing scholarship and learning from each other.

Here, we present some of our scholarly discussions that took place during our conference in a more detailed manner, which the sessions during the conference would not allow. We hope that these scholarly conversations continue and we all inform each other, work towards uniting the already globalize world so that we can celebrate this unity.

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## **Teacher Reflective Practice**

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### **Abstract**

The Researcher examined reflective practice through a wide-angle lens for understanding organizational stability and change and the promise of reflective practice as a means of facilitating significant change. In this paper, The Researcher narrows the lens angle to focus more directly on reflective practice as a process of professional development. The purpose in writing is to encourage the development and nurture of such learning opportunities. Although the paper is interpreted and understood in different ways, within article discussion, reflective practice is viewed as a means by which practitioners can develop a greater level of self-awareness about the nature and impact of their performance, awareness that creates opportunities for professional growth and development. Often reflective practice is the most successful as a collaborative effort. Moreover, The Researcher reviewed 13 articles, which discussed how teachers can using reflective practice in classroom. Also, this paper contains the literature review and the methodology.

*Keywords:* critical reflective practice (CRP), faculty, self-confidence, curriculum.

### **Teacher Reflective Practice**

Reflective practice is essential for successful collaboration effort. The reflective practice term is interpreted and understood in different ways by educators and mentors. The discussion of reflective practice is viewed as a goal by which practitioners can develop a greater level of self-awareness, self-improvement, and self-correction self-esteem. The nature and impact of their performance, awareness creates opportunities for professional growth and development of education outcome. Reflective practice is essential for improving education. Also, how can teachers To gain a new level of insight into personal interact, the reflective practitioner assumes a dual viewpoint, being, on one hand, the actor in a class and, on the other hand, the critic who sits in the student seats watching and analyzing the entire class performance by other colleagues. The Researcher explain that Teachers must come to an understanding of their own personal behavior; they must develop a conscious awareness of their own personal actions and effects and the ideas or theories and methods -in-use to improve the strategies and skills.

The project with Reflective Practice Groups tried to create a cross-section of the district within each group. Each group consisted of ten to twelve educators including new teachers, teachers new to the district, mentors, and experienced teacher administrators. It also includes administrators, teachers from the elementary, middle, and secondary levels. In addition, most groups included a physical education teacher, an English Language Learner teacher, a music teacher, and an art teacher. Groups agreed to meet every month from September to May for about two hours after school. The group's purpose was to have the teachers participate in the development of the curriculum and instruction along with all members of the school community. Also, RPGs empower teachers through it. For instance, teacher's confidence increases, their repertoire of problem-solving skills increases, and their overall sense of professional efficacy increases (Distad & Brownstein, 2004).

The relationship between time, experience, and expectations of learning through reflection is an important element of reflection, and to teach about reflection requires contextual anchors to make learning episodes meaningful. The Researcher examines the nature of reflection and suggests how it might become effective reflective practice that can be developed and enhanced through teacher preparation programs.

Prospective teachers should learn not only about the subjects they would teach in elementary schools but about pedagogy as well. The move toward teaching future teachers a set of routines and behaviors continued, and for educators to learn the pedagogical and interpersonal skills needed for effective teaching. This move to the university was a significant one for the development of thinking about what it means to prepare teachers and about the work of teaching itself. Good research would enable educators to determine the best routines and behaviors for effective teaching.

The scientific development of knowledge about teaching, by carefully trained experts who specialize in research, would enable educators to improve teaching and learning. Learning by experience well. As Dewey (1938) noted, experience is essential to real learning, but experience itself can be educative (Adler, 1994).

In schooling, reflective approaches are, but one manifestation of the more general post-florist shift in the nature of work that is occurring generally. As a way of drawing together some of the points the researcher have made in this paper, there are six key principles that ought to underpin reflective practice, and that might be useful to dwell upon. While each of these might be extracted from the more positive aspects of encounters with reflective approaches up to this point, the researcher needs to be especially mindful of them if they are to avoid the situation in which reflection can mean anything he/she wants it to mean. For example, reflection should not to be restricted to examining only technical skills; it should equally be concerned with the ethical, social, and political context within which teaching occurs. Also,

reflection should not be restricted to teachers reflecting individually upon their teaching.

There is a need for a collective and collaborative dimension to it as well. Next, reflection is a process that is centrally concerned with challenging the dominant myths, assumptions hidden message systems, implicit in the way teaching and educations are currently organized. Additionally, reflection is also fundamentally about creating improvements in educational practice, and the social relationships that underlie those practices. Thereafter, reflection is founded on the belief that knowledge about teaching is in a tentative and incomplete state, and as such, is continually being modified as a consequence of practice. Finally, reflection occurs best when it begins with the experiences of practitioners as they are assisted in the process of describing, informing, confronting and re-constructing their theories of practice (Smyth, 1992). The term reflection is often thought of as a solitary and meditative process; in fact, analysis may be done alone while listening to a tape recording of a committee meeting, watching teachers on a videotape, or analyzing the contents and attitudes contained in our memos. Nonetheless, because of the deeply ingrained nature of our behavioral patterns, it is sometimes difficult to develop a critical perspective on our own behavior. For that reason alone analysis occurring in a collaborative and cooperative environment is likely to lead to greater learning. The whole committee might analyze the tape recording; you and a supervisor might probe into the teaching episode together; a colleague who has “shadowed” you all day might help to analyze what he or she saw (Osterman, 1990).

The nature of the discussion is focusing on emotions as on ideas. And the ideas discussed are those gathered from personal experience as well as from reading and research. All participants provide information as an example. Multiple centers of activity often occur simultaneously. Different individuals place many questions and answers are as likely to come from other participants as from the instructor.

The ultimate purpose in the traditional model may be improved performance, directly observable purpose—and the purpose surrounded in the theory by using the behaviors of both the instructor and participants. The instructor spends most of the available time in these sessions transferring information to generally passive recipients and testing the acquisition of that information. The immediate as well as ultimate purpose of reflective professional development is not knowledge acquisition per se but behavioral change and improved performance. This is readily observable in development sessions (Osterman, 1990). Introduced the concept of reflective practice as a means of continuous improvement for educators and other professionals because it pertains to teachers and teacher education. The broadly defined process involves cycles of thoughtfully considering the effectiveness of practice, taking steps to improve practice, and assessing the effectiveness of those efforts, often in conjunction with other professionals with complementary experience. It may be generally accepted that critical reflective practice (CRP) is an important component of initial teacher education, and can provide a vehicle whereby tacit knowledge possessed by teachers can be transformed into explicit knowledge. Hobbs (2007) identified some problems with reflective journals that were assessed and suggested that reflections should not be assessed in the early stages; only after individuals have had significant experience.

Student teachers clearly need to learn how to introspect, describe, understand, evaluate learning, and the teaching processes. Much could be done to develop appropriate tools for conducting CRP such as found in action research, mentoring, peer coaching, or collaborative study groups (Hannay, Wideman, & Seller, 2007) so that students have opportunities to collect and analyze classroom data and engage in professional dialogue. Completing self-evaluation 'boxes' on lesson-plans is inadequate for this purpose. Put simply, students need to be taught how to reflect critically and this should become a key element of initial teacher education programmers. Part of the teaching might involve the joint development (student-teachers and

teacher educators) of appropriate frameworks and a meta-language, which is understood by everyone (McCabe et al., 2009).

Theory and knowledge about learning, schooling, and teaching gained through research can and should inform practice. The challenge for teacher education has been to bring together theory and practice, the worlds of research and practice. The charge to teacher educators is that of enabling teachers to bring appropriate knowledge and experience to bear on their classroom practice. Teacher education, in this context, involves preparing teachers to develop and use their professional judgment in the decision-making demands in the day-to-day practice of teaching. Thereafter, Cruikshank (1987) describes "reflective teaching" as an opportunity to apply principles and theories of teaching and learning, developed through scientific inquiry, to real situations. As a result, reflection is likely to be based upon commonsensical inquiry as well as provide the opportunity to apply theory to practice. Donald Schön's Knowledge-in-action is the knowledge of practice developed by the experienced, skilled professional. Also, through observation and reflection, however, one can come to describe this knowledge. Knowledge-in-action is constructed, or reconstructed, from practice. Furthermore, it is dynamic and situational, not easily reduced to rules and procedures. Additionally, the Cruikshank and Schon models of reflection are extensions of the technical, instrumental approaches to teacher education. The goal of reflective teacher education is to enable beginning teachers to see how these various levels intertwine and how the decisions made in teaching situations involve issues of each type.

The literature in teacher education describes a variety of strategies aimed to help teachers improve their reflective behavior. Students learn to recognize good practice, to build images of competence, and to think in the midst of acting. Students are to learn by doing under the tutelage of experienced practitioners. Also, Gitlin and Teitelbaum (1983) suggest using ethnography to help pre-service teachers reflect upon schooling practices. The authors argue

that encouraging students to observe school practices systematically, to step back from their observations and use relevant knowledge to understand what they have observed, and to present these conclusions in a coherent form helps them to become aware of the influences of hidden curriculum, to examine the limits on schooling practice, and to make judgments, using ethical criteria, on the legitimacy of those practices.

Adler & Goodman (1986) describe strategies used in a social studies methods class to help students develop skills of critical inquiry. Early in the semester, the professor asks students to examine their schooling experiences; then the professor asks them to consider what social studies ought to be. Through interviews, textbook analysis, and school observations, they are to describe social studies, as it presently exists in schools and then compare that to the imagined images developed earlier. Finally, students synthesize their personal knowledge with ideas gathered from other class members and readings. During the second segment of the class, students are taught a critical approach to designing curriculum (Adler, 1994). Reflective Practice Groups study matches with Kolb's experiential learning cycle theory such as case studies and shared experiences (construct experience), "what-if" situations and problem-solving activities (active experimentation), structured small group discussion and reflective papers (reflective observation). Reflective practices agreed with theory of human motivation in Maslow triangle study, which include their experience. This likes what Merriam & Bierema said that classified into five ladders one of them feels safe, self-esteem, and secure, and finally, the need for self-actualization. "This need for self-actualization pertains to what person's full potential is and realizing that potential" (Merriam & Bierema, 2014). Constructivism is essential to learn concerning adult learning theory and practice for example reflective practice by Candy (1991) observed, "teaching and learning" Books' authors embraced reflective practice as main and fundamental source of learning. This theory shared many of self-direct learning theory by (Merricam & Bierema, 2014).

Theory of maintaining good quality learning is a debate in close circle process consisting of four stages: experience, observation and reflection, abstract reconceptualization, and experimentation (Kolb, 1984). While experience is the basis for learning, learning cannot take place without reflection. Conversely, while reflection is essential to the process, reflection must be integrally linked with action. Reflective practice, then, integrating theory and practice, thought and action. Also, the first step of the learning process is to identify problematic situations. Because, reflective practice is to improve the quality of professional performance, educators begin to focus on problems to solve it. There are many different types of problems (Getzels, 1979). In some situations, the problem, with readily available solutions, is presented to the problem solver. In other situations, the problem emerges from one's own experience. In whatever form, problems arise out of a sense of discomfort or a desire to change (Osterman, & Kottkamp, 2004).

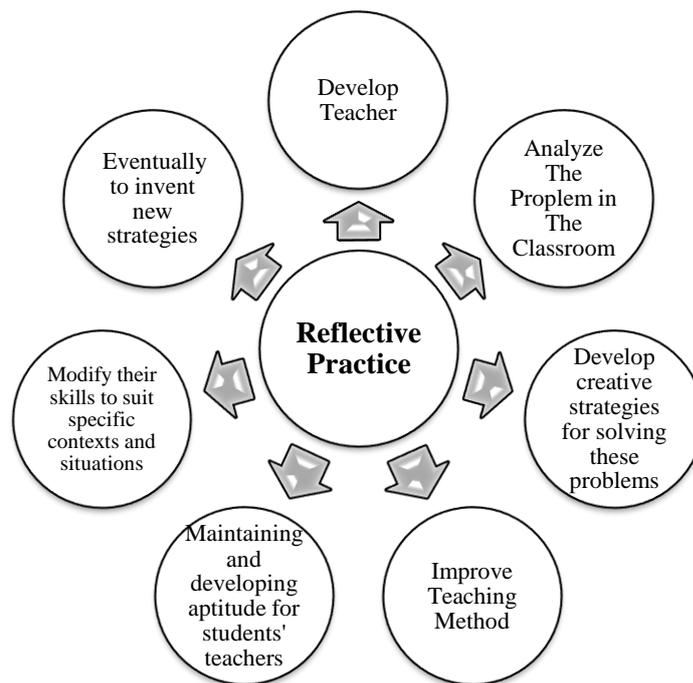
The Reflective Practice Group's process is that the participants should follow the rules of the group policy, confidentiality, and engagement. The groups discuss topics related to the school environment like curriculum, student's academic issues, student behavior, and parent teacher issues, and colleague – teacher issues. The policy is categorized in eight steps. The main steps for the policy are to provide each participant with a worksheet for writing down a critical incident from their experience, for example, planning and preparation, classroom environment, instruction, or professional responsibilities. They share their incident with the group participants. The groups discussed in detail only one case that they share and summarize collectively in the best way to empower teachers through Reflective Practice. Before the conclusion each group writes down answers to the following incidents for instance, why it was an effective approach. Finally, in the end of the meeting the group facilitator writes a brief summary for their group's activity with some advices (Merriam & Bierema, 2014).

Viewing social studies subjects through an alternative set of lenses helps prospective teachers to think broadly about teaching resources and to see the barriers between disciplines as permeable. It also encourages them to question their assumptions about knowledge, curriculum, and teaching. Field experiences and supervision do not expect student teachers to assume an active role in curriculum development, nor simply to implement ideas and aims developed by others. The supervisor can serve to help clarify the relationships between the student teachers short-term and long-term intentions and observed practice. In addition, the supervisor can help the student teacher think through and evaluate the short and long term intents, which guide teaching. Social studies as a field aims to involve learners in decision-making and problem solving about complex social issues past and present. Such experiences can enable teachers to develop image of what classroom inquiry is, as well as what it's like to experience such inquiry from the perspective of the learner (Adler, 1994).

In the reflective practice model, the link between theory and practice is explicit not implicit as in the traditional approach and the developmental process begins with practice. If the researcher wishes to develop new and better methods of practice, they begin by examining the behavior they want to improve. That knowledge transmission leads to behavioral change and the corresponding belief that knowledge is developed and interpreted by researchers or academicians rather than by practitioners, and activism is the central and legitimate means in the traditional model. Although various strategies may be used lecture, discussion, and case study analysis the central purpose remains to convey knowledge and to develop cognitive skills. Reflective practice, in contrast, relies to a greater extent on dialectic learning and, is rooted in the experience and particularly the problematic experience of the learners (Osterman, & Kottkamp, 2004). Reflective practice is now at the heart of a number of teacher education programmers and is regarded as an important element in the preparation of new teachers. This study examines the role of critical reflection in teacher education in Ontario pre-service

programmers. The intent of this study is to contribute to understanding the challenges involved in preparing 'reflective practitioners'. The aim is first, to understand critical reflective practice (CRP) from the perspective of faculty, second to hear the lived experience of students preparing to become teachers, and third to examine the students' engagement with the strategies aimed at making them reflective practitioners. It is anticipated that the results can be used to assist in the adaptation and/or the development of models of implementing CRP in teacher education programmers. This can enhance new teachers' induction to the profession and beyond (McCabe et al., 2009) Powell and Single (1996) defined a focus group as, "a group of individuals selected and assembled by researchers to discuss and comment, from personal experience, on the topic that is the subject of the research. Focus groups are a form of group interviewing but are distinguished by the fact that the researcher relies not on questions and answers between the participants and the researcher, but rather on "the interaction within the group-based topics that are supplied by the researcher". In data analysis initially, each individual researcher analyzed the data from the pre-service programmer studied, coding the data under each of the focus group questions, and looking for categories that reflected similarities and differences between the comments of the faculty and the students. Once this was accomplished, some researchers met together to review the respective analyses to develop a shared list of categories that reflected similarities and differences in the data. The resulting categories illuminated some of the literature on reflective practice. In contrast, below illustrates CRP as a process emphasizing longer-term professional awareness and development. I think it (CRP) also deals with your personal strengths and your personal goals, not just with how it reflects on the classroom. In this study, a pre-service teacher education program was examined as a means of gaining a better understanding of the role of CRP and of identifying strategies used to prepare new teachers to think critically about their own practices.

## Conceptual Framework



## Conclusion

Learning is most effective when people become personally engaged in the learning process, and engagement is most likely to take place when there is a passionate to learn. Learning is most effective when the learner is actively involved in the learning process, when it takes place as a collaborative rather than an isolated activity between messengers and receivers, and when it takes place in a framework relevant to school environment.

Educators improve skills at gathering information and more aware of their actions, more sensitive to the feelings and reactions of others, and more adapt at using a variety of techniques to gather information. Finally, in the reflective mode, learning is a social process in reflective practice and learning is cooperatively based. Collaboration extends beyond the learner-facilitator relationship to include all of the individuals in an interdependent learning process. In this study the Researcher could not find validity data to find out if reflective practices are beneficial in the classroom, so because of that the research is going to study the result by using mix methods. In this study, the Researcher highlights that reflective educators experience

better quality of teaching by using reflective practice. This study is based on precedent literature, which discussed the Research topic. In chapter 2 the Researcher will discuss the Research's methodology.

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**Representative Bureaucracy and Employment Equity: Patterns of Challenges to  
Governance in Nigeria and Canada**

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**Abstract**

This paper focuses on the status of passive representation in the symbolic/descriptive representation of bureaucracy in two federal states – Nigeria and Canada. The objective of the paper is to ascertain the extent of the implementation of the Federal Character Principle in Nigeria, modestly comparing the Nigerian situation with the Canadian situation. The paper compares the pattern of challenges which the presence or absence of passive representation poses in the two federal states. The paper used available data complimented with survey data from relevant ministries/agencies in the Federal Capital City of Abuja. The modest achievements notwithstanding, our findings suggest the failure of the Federal Character Principle to achieve passive representative bureaucracy in Nigeria. The paper found that the North (Hausa/Fulani ethnic group) dominates in political leadership (executive) positions, while the South (Yoruba and Ibo ethnic groups) dominates the bureaucracy. Aspirational-active-representation was found lacking. As a result, a greater majority of the surveyed staff feel generally marginalized-frustrated or don't care. In contrast, available data suggest that in Canada, on the basis of employment access, there is passive representative bureaucracy for all the equity groups except for visible minorities (i.e., non-whites), but on salary and executive positions, there is inequality for all equity groups in Canada. In all, the paper concludes that in a socially mobilized, developed, slightly racially divided Canada, the threat from the lack of

passive representation is light, but in plural, ethnically divided (multiple majority and minority ethnic groups) society, such as Nigeria's tripodal ethnic structure, the threat is serious.

The paper recommends, as a contribution to nation-building, that the national and state governments of the northern geopolitical zones of Nigeria should embark on educational and employment equity policies and programmes that would facilitate closing the gap in the representation of the north in the federal civil service, while the south pursues political strategies to achieve a balance in substantive (political) representation or take their turn in political dominance. If this is achieved, the battle ground for resolving ethno-regional conflicts and tensions in Nigeria will concentrate on substantive (political/executive position) representation, which of course will be resolved by the electoral process as Nigeria's democracy matures.

*Keywords:* representative bureaucracy, employment equity, federalism, ethnic politics, comparative public administration

## **Representative Bureaucracy and Employment Equity: Patterns of Challenges to Governance in Nigeria and Canada**

Modern liberal democracies require systems of representation that tend to promise the participation of all adult citizens in societies' decision-making. This requirement is evident more in heterogeneous federal systems than in relatively homogenous unitary systems. A federal system exists to allow a government to function over a nation of diverse peoples and cultures (Amuwo, 1998:1-2; Ogban-Iyan, 1998:57-58; Onwudiwe and Suberu, 2005:4). Federalism is a system of political organization uniting separate states or other units in such a way as to allow each to remain a political entity (and) to share power among themselves" (Ogban-Iyan, 1998:60). Federalism can deepen democratic tendencies and practices by promoting good citizenship development through decentralized political participation, increasing the accountability and responsiveness of the political process to local interests, generating multiple checks and balances against centralization or concentration of political powers (Diamond, 1999:121). When practiced well, the disposal of power together with the counterbalancing / countervailing forces help a heterogeneous country to amicably manage social and political conflicts.

In typical federations, the constituent states (i.e., their peoples or governments) are generally represented, often on the basis of equality, in at least one of the chambers of the federal legislature (Burgess, 1890, cited in Aroney, 2005). Given that the specific characteristics of federal constitutions have long presented challenges to theories of federalism which are enamoured of the idea of state sovereignty (Aroney, 2005), one of such challenges is posed on constitutional provisions relating to the representation of the peoples of the state in the federal executive workforce.

A variety of federal systems of government has existed, the best known being the United States of America (USA), Australia, Canada, Germany, India and former Soviet Union.

As a developing country, Nigeria is a thriving federal system, as it is still experimenting with federalism. In each of these federations, the issue of equity in representation in the various organs of government (including the bureaucracy) has posed a challenge as it has been addressed variously by different policy slogans -- The Federal Character Principle (in Nigeria), Affirmative Action (in the U.S.A.) or Employment Equity (in Canada). For Canada (as for Nigeria, irrespective of the applicable policy slogan, “employment equity encourages the establishment of working conditions that are free of barriers, corrects the conditions of disadvantage in employment and promotes the principle that employment equity requires special measures and the accommodation of differences among the various groups in the society ([www.labour.gc.ca/en/standards\\_equity/eq/emp/](http://www.labour.gc.ca/en/standards_equity/eq/emp/)). The Federal Character Principle (in Nigeria) as is Affirmative Action (in the U.S.A.) or Employment Equity (in Canada), is anchored on the theory of representative bureaucracy.

### **Representative Bureaucracy**

Representative bureaucracy is defined as a public service whose members reflect the demographic composition of the population it serves and to which its policy applies (Agocs, 2012:1). Representative bureaucracy is a public service whose staff are drawn from all groups that make up the society, believing that the civil service, especially in a developing federal democracy, plays a pivotal integrative role in policy formulation and implementation and therefore must be inclusive in its staffing.

The theory of representative bureaucracy suggests that a public workforce representative of the people in terms of race, ethnicity, and sex will help ensure that the interests of all groups are considered in bureaucratic decision-making processes, and therefore active representation of group interests occur because individual bureaucrats reflect the view of those who share their demographic backgrounds (Bradbury and Kellough, 2010). In other word, the theory of representative bureaucracy suggests that a demographically diverse public sector

workforce (**passive representation**) will lead to policy outcomes that reflect the interests of all groups represented (**active representation**) (Bradbury and Kellough, 2008).

Since the 1970s, the concept of representative bureaucracy has been widely embraced in the public services and in scholarship, guided by an unquestionable logic: “Just like representative democracy should reflect the interests and diversity of the electorate, organizations that serve society will be better placed to do if their employees represent all the segments of the population they serve (Evans, 1974). However, in the literature of representative bureaucracy, complex questions arise about what representation means – i.e., what do representatives actually represent? Pitkin (1972) provides a definition, suggesting that “political representation is the activity of making citizens’ voices, opinions, and perspectives present in the public policy making processes. In other words, political representation occurs when political actors speak, advocate, symbolize and act on the behalf of others in the political arena (Dovi, 2006). Conceived thus, all government officials may seem to be its representative. In this sense, our common sense view of representation as occurring only in elected assemblies, is faulty. No doubt, in a competitive model of democracy, representative action occurs in elected assembly where conflicts of interests are resolved through systems of majority voting. However, if the process of deliberation, formulation and implementation of policy is seen as more important, then it is clear that democratic representation occurs wherever any of such actions take place, and that is what bureaucracies do (Stephens, 2008).

Specifically, representative bureaucracy is a system based on the belief that the ratio of each minority at each employment level in a government agency should equal that groups proportion in the general population. In other words, it is a system based on the belief that in a true democracy, public servers should reflect public service -- the racial, ethnic and gender composition of the government constituencies so that responsive public policy can be made. While the conventional type (legislative representation) is referred to as **substantive**

**representation** (Stephens, 2008), the later type (representative bureaucracy) has variously been referred to as **self-appointed or symbolic/descriptive** representation (Long, 1952).

Symbolic/descriptive representation occurs when a person is taken as standing for something beyond themselves (Pitkin, 1972), equally assuming that what representatives are is crucial because only those who actually belong to the groups they represent can truly ensure that they have a voice, and therefore even where they do nothing, they are to be recognized as being something, such as ambassadors, who are symbols of the state (Stephens, 2008). Its counterpart – descriptive representation, equally assumes that what representatives are is crucial, but because only those who actually belong to the groups they represent can truly ensure that they have a voice. Substantive representation covers representatives acting to further the key interests of an individual or group, as in elected assembly members who however are equally guided by their party ideology (Stephens, 2008).

The literature on bureaucratic representation makes the distinction more glaring, but labels the two forms of representation as **passive** and **active representation** (Mosher, 1968). The passive – active representation link derives from the expectation that minority public administrators, in particular, will have similar attitudes to minority citizens on issues of crucial import and relevance to those citizens, and the attitudes, in turn, will influence policy decisions (Bradbury and Kellough, 2008).

The theory of representative bureaucracy holds that “**passive representation**, or the extent to which a bureaucracy employs people of diverse demographic backgrounds, will lead to **active representation**, or the pursuit of policies reflecting the interests and desires of those people” (Selden, 1997; Mosher, 1968). “Whereas passive representation concerns the extent to which the background characteristics of administrators collectively mirror the population, active representation calls upon officials from disadvantaged groups to actively use their position to promote the interests of the groups they emanate from” (Groeneveld and Van de

Walle, 2010). In this regard, whether or not public officials actually use their positions to promote the interests of the groups they emanate (active representation), our primary interest is on passive representation, which Groeneveld and Van de Walle (2010) define as an aspirational aim for making the bureaucracy more democratic or to alleviate social tensions within the framework of any of the three dimensions/approaches of representative bureaucracy, viz:

- (1) **Political Power-Balance:** This is an elitist focus of representative bureaucracy. By this conception, representation of the civil service towards the ruling class helps states to establish control and guarantee harmony and stability (Kingsley, 1944). When the bureaucracy is representative of the ruling class, it contributes to effectiveness and social harmony. By the Power-Balance approach, representative bureaucracy focuses on the state or geopolitical zone as a criteria to determine whether or not a bureaucracy is representative.
- (2) **Equal Opportunity:** By this traditional middle and working class focus, representative bureaucracy emphasizes on reconciling bureaucracy with democracy and on equal opportunities in its distinction between active and passive representation (Mosher, 1968; Dolan and Rosenbloom, 2003). “Attention in the ‘representative bureaucracy as equal opportunity’ approach shifted to **ethnicity and gender as key criteria** to determine whether or not a bureaucracy was representative, downplaying the political and territorial characteristics that were at the core of ‘representative bureaucracy as power’ approach” (Groeneveld and Van de Walle, 2010).
- (3) **Diversity Management:** In this dimension, representative bureaucracy focuses on the benefits of diversity for the performance of public sector organizations (Pits, 2005; Wise and Tschirhart, 2000). “Originating in the US in a private sector context, this managing

diversity approach was gradually adopted by Anglo-Saxon and Western European scholars focusing on public sector organizations (Groeneveld and Van de Walle, 2010).

For power-balance, achievement of equal opportunity or diversity management, “the knowledge, skills and social networks that members of ethnocultural or racialized groups bring to their work as public servants can help them to communicate more effectively with these communities and to provide more relevant, sensitive and appropriate service delivery to them than majority group members may provide” (Agocs, 2012). Thus, in a true or aspiring democracy, like Canada and Nigeria, the citizens expect their elected government as well as its public administration, to reflect the gender, disability status, ethnic and racial diversity of the population and to represent or seen to be inspired (with high morale) to represent the interests of these diverse groups. No doubt, the most explosive of these elements of diversity is ethnic or racial diversity. To what extent has the Federal Character Principle in Nigeria and its counterpart – the Employment Equity policy in Canada, for example, assisted the public service to become a representative bureaucracy in this direction? And what are the implications of effective implementation or otherwise, of ineffective implementation, in the context of the promise of the theory of representative bureaucracy in the federal states.

This paper focuses on the status of symbolic/descriptive representation of bureaucracy in two federal states – Nigeria and Canada. The objective of this paper to ascertain the status or (at best) the potentials of the passive-active link of representative bureaucracy in the two federal states. The paper is derived from a study of representative bureaucracy in Nigeria and therefore concerned primarily with ascertaining the extent of the implementation of the Federal Character Principle in the Nigerian federal civil service. However, the paper modestly compares the Nigerian situation with the Canadian situation, and consequently attempts to determine the pattern of challenges arising from the effective implementation or otherwise of representative bureaucracy in the two federal states of Nigeria and Canada. Accordingly, the

paper compares the pattern of challenges which the presence or absence of passive representation poses in an ethnically heterogeneous developing federal state (Nigeria), compared with a racially heterogeneous developed federal state (Canada).

If “the theory of representative bureaucracy suggests that organizations perform better if their workforces reflect the characteristics of their constituent populations” (Andrews et al., 2005), it implies also that non-representative bureaucracy (non-passive representation) will likely lead to non-performance or generation of social tensions (destructive conflict) of the federal state, possibly resulting from agitations/protests or general feeling of marginalization and frustration from disadvantaged groups in the general population as reflected also in the bureaucracy..

This paper is the product of a descriptive study. The bulk of the data for the comparative analysis were drawn from available data, particularly from Mustapha (2007), Agocs (2010) and FCC documents. The available-documents data were complemented with survey data collected from fifty (52) staff of Nigeria’s Federal Character Commission and National Bureau of Statistics, Abuja to ascertain their feelings on elements of Representative Bureaucracy. In the following sections of the paper, we shall present and descriptively analyze various shades of data, discussing, in logical order (1) Nigeria’s Diversity Pattern, (2) The Federal Character Principle in Nigeria, (3) Nigeria and Representative Bureaucracy: The Federal Character Principle in Practice (Northern Political Domination; Southern Domination of the Bureaucracy), (4) Perceptions of Staff of the Federal Public Service, (5) Employment Equity in the Public Service of Canada, and finally (6) Conclusion.

### **Nigeria’s Diversity Pattern**

Nigeria is a federation consisting of diverse ethnic groups that can each be distinguished by the area they inhabit, their language, culture, religion and even resources (Affim, 2007, Adeosun, 2011, Olowu, 1995: 200). Nigeria has between 250 and 400 ethnic groups. Otite

(1999) specifically identified a total 374 ethnic groups (Mustapha, 2007). The three major groups are the Hausa/Fulani in the North; the Yoruba in the South-West; and the Igbo in the South-East -- all constituting about 57.8% of the national population in the 1963 census. Other groups include the Edo in the South South; the Kanuri in the North-East; the Tiv and Nupe in the North Central; and the Urhobo, Isoko, Ijaw, Itsekiri and Efik in the Niger-Delta (South South). The numerical and hegemonic strength of the three majority ethnic groups within the Nigerian federation has meant that Nigeria has a **tripodal ethnic structure** with each of the three ethnic groups constituting a pole in the competition for political and economic resources, as the ethnic minorities are forced to form a bewildering array of alliances around each of the three dominant groups (Mustapha, 2007).

The South is predominantly Christian while the North is mostly Muslim. The Constitution recognizes three major languages, Hausa, Yoruba and Igbo even though English is the official language.

Nigeria “progressed” from a Federation of three regions, the North, East and West at Independence in 1960 to a federation of four regions consisting of the North, East, West and the Mid-West in 1963 created by the post-Independence civilian government. The Military regimes by fiat expanded the number of states first to 12 in 1967, 19 in 1976, 21 in 1987, 30 in 1991 and then to 36 states in 1997 plus the Federal Capital Territory (FCT). The local government structure rose to 776 in 1993. The three tiers of government have powers to employ, promote and discipline staff. While the federating states subsist, the country for political, economic and other considerations is divided into six zones, each zone comprising a number of states (see Table 1 below):

**Table 1***Composition of the Geopolitical Zones of Nigeria*

Geopolitical Zones	States	%of National Population
North-Central	Benue, Kogi, Kwara, Nasarawa, Niger, Plateau, and the FCT	13.47
North-East:	Adamawa, Bauchi, Borno, Gombe, Taraba and Yobe	13.55
North-West:	Jigawa, Kaduna, Kano, Katsina, Kebbi, Sokoto, and Zamfara	25.56
South-East:	Abia, Anambra, Ebonyi, Enugu and Imo	11.7
South-South	Akwa-Ibom, Bayelsa, Cross-River, Delta, Edo and Rivers	15.0
South- West	Ekiti, Lagos, Ogun, Ondo, Osun and Oyo.	19.7

Nigeria's heterogeneous environment naturally creates a complex climate for intense competition for available resources and opportunities amongst the various ethnic groups that constitute the country. Nigeria's political history is replete with issues of marginalization and equitable distribution. Marginalization manifests in terms of the perceived failure of the distribution of political power and public sector employment including the Civil Service to fairly reflect the country's linguistic, ethnic, religious and geographic diversity. (Bassey, 2005:28; Akintoye et al 2012).

### **Federal Character Principle in Nigeria**

A recurring issue in Nigerian federal practice has been the design of measures or instruments used to address problems of perceived marginalization and under-representation in government and the public service so as to maintain the stability or integrity of the Nigerian State. Consequently, the Federal Character Principle (FCP) emerged as a deliberate policy designed to address problems of discrimination and under-representation in Nigeria.

During the post-independence era, the Nigerian state found itself in a dilemma whereby the political leadership was dominated by Northern executives leaving its administrative functions to a Southern dominated bureaucracy (Ayoade, 2000). The complementarities of this inequality manifests in the fact that the political executives could not execute its policies

without the bureaucratic facilitators which the North lacked in terms of requisite manpower. It was this skewed distribution of educational and political resources that contributed in a large measure to the demise of the First Republic in 1966, the intervention by the military and the civil war of 1967-1970. The bid to resolve the dilemma of Northern political domination and Southern domination of the bureaucracy (notably, the attempts by the military to reform the system) led to the promulgation of the Federal Character Principle in the 1979 constitution (Ayoade, 2000).

Thus, given Nigeria's ethnic and cultural diversity, uneven levels of development and traces of suspicion and distrust of the peoples of Nigeria over actual or perceived cases of domination and marginalization among the different ethnic nationalities, the Federal Character Principle was included in both the 1979 and 1999 Constitutions to tackle the problem of agitations of Nigeria's ethnic nationalities (FCC, 2006). Accordingly, Section 14 (3) and (4) of the 1979 Constitution as retained in the 1999 Constitution states as follows;

14(3). The composition of the Government of the Federation or any of its agencies and the conduct of its affairs shall be carried out in such a manner as to reflect the federal character of Nigeria and the need to promote national unity, and also to command national loyalty thereby ensuring that there shall be no predominance of persons from a few states or from a few ethnic groups or other sectional groups in that government or any of its agencies.

14(4). The composition of the Government of a State, Local Government Council or any of the agencies of such government or council, and the conduct of the affairs of the government or council or such agencies shall be carried out in such a manner as to recognize the diversity of the people within its area of authority and the need to promote a sense of belonging and loyalty among all peoples of the Federation.

Section 14(3) and (4) of the Constitution establishing Federal Character Principle does not provide any guidelines for its implementation. However, Section 135 stipulated that the President must appoint at least one minister from among the indigenes of each state. Section 157 compelled the President to take due regard to the Federal Character Principle in appointing persons to offices as Secretary to the Federal Government, ambassadors, permanent secretaries of the ministries, and the personal staff of the President. Section 197 (2) stipulated that officer corps and the other ranks of the armed forces must reflect the Federal Character of Nigeria. Section 199 called for the establishment of a body to ensure that the composition of the armed forces complies with the Federal Character principle.

The National Constitutional Conference convened by General Sani Abacha in June 1994 saw the need to establish a **Federal Character Commission (FCC)** to monitor and enforce the Federal Character Principle (Ugoh and Ukpere, 2012). The approval of the recommendation of the 1994/95 Constitutional Conference for a Statutory Body to carry out this responsibility culminated in the establishment of the Commission in 1995 by the Federal Character Commission (Establishment, Etc) Act of 1996, now Cap F7 Laws of the Federation of Nigeria 2004, which was later reinforced by the 1999 Constitution (FCC, 2006). The Constitution and its Enabling Statute empowered the FCC to:

- (a) Work out an equitable formula subject to the approval of the National Assembly for the distribution of all cadres of posts in the Public Service of the Federation and of the States, the Armed Forces of the Federation, Nigeria Police, and other Government Security Agencies, government owned companies and Parastatals of the states;
- (b) Promote, monitor and enforce compliance with the principles of proportional sharing of all bureaucratic, economic, media and political posts at all levels of government;

- (c) Take such legal measures, including the prosecution of the head or staff of any Ministry or government body or agency which fails to comply with any federal character principle or formula prescribed or adopted by the Commission;
- (d) Ensure fair and equitable distribution of socio economic amenities and infrastructural facilities throughout the Federation; and
- (e) Redress in a fair manner, the problem of existing imbalances in the Public Services throughout the Federation.

### **Nigeria and Representative Bureaucracy: The Federal Character Principle in Practice**

In Nigeria, the achievement of representative bureaucracy in the Federal Civil Service is measured against the prescribed formulae of 2.5% and 3.0% lower and upper limits of representation by each state of the Federation; and 1.0% to FCT.

In accordance with the FCC Act of 1996, each state of the federation and the FCT shall be equitably represented in the Public Service and Civil Service while the best and most competent persons are recruited from each state and the FCT. The distribution is made zonal if there are not enough positions. Where only two positions exist, they should be shared between the Northern and Southern zones. Where indigenes of a state or the FCT cannot take up all the slots, the indigenes of any other state in the zone are given preference in taking up the vacancy. Where there is no one in the zone to fill the post, indigenes from another zone are considered.

The Statistical Division of the FCC, monitors the composition of different institutions grouping them into (a) not represented (NR) 0%; (b) grossly under-represented (GUR) < 1.5%; (c) adequately represented (AR) between 2.5% and 3% ; (d) over-represented (OR) between 3.1% and 3.9%; and (e) grossly over-represented (GOR) > 4% (Ugoh and Ukpere, 2012).

### **Northern Political Dominance**

As reflected in Table 2 below, employment data from independence reveals the political dominance of the North. By virtue of its political strength and power the North dominated the

political sphere and top management positions in the key ministries of Defence, Interior, FCT and Mines and Power. The South on the other hand, by virtue of its greater educational advancement, dominated employment in the civil service (2010:6; Ugoh and Ukpere, 2012). There is thus an inequality in employment distribution arising from political dominance and numerical strength on the one hand and from unequal educational development and skills acquisition on the other hand.

**Table 2***Nigeria's Rulers From 1960 to Date*

	S/N	DATE	IDENTITIES	STATE	GEOPOLITICAL ZONE
	1.	Oct.1, 1960 – Jan.15, 1966	TafawaBalewa	Bauchi	North-East
	2.	Jan. 15, 1966 – July 29, 1966 – July 29, 1975	J.T.U. Ironsi Yakubu Gowon	Abia Plateau	South-East North-Central
		July 29, 1975– Feb.13, 1976	Murtala Mohammed	Kano	North-West
.		Feb.13, 1976 – Oct.1, 1979	Olusegun Obasanjo	Ogun	South-West
.		Oct.1, 1979 – Dec.13, 1983	Alh. ShehuShagari	Sokoto	North-West
.		Oct	MuhammedBuhari	Katsina	North-Central
.		Aug.27,1985– Aug.26, 1993	Ibrahim Babangida	Niger	North-Central
.		Aug.26,1993– Nov.17, 1993	Ernest Shonekan		South-West
<b>0.</b>		Nov.17,1993-June 8,1998	SaniAbacha	Kano	North-West
<b>1.</b>		June 8,1998-May 29, 1999	AbdulsalamAbubakar	Niger	North-Central
<b>2.</b>		May 29,1999-May 29, 2007	Olusegun Obasanjo	Ogun	South-West
<b>3.</b>		May 29, 2007-May 5, 2010	Umaru Musa Yar'Adua	Katsina	North-West
<b>4.</b>		May 5, 2010 to date	Goodluck Jonathan	Bayelsa	South-South

Source: *Adapted from Adeosun (2011:5) drawn from Sunday Tribune, 7<sup>th</sup> August*

*1994, Ibadan, pages 7-9*

Another dimension of inequality in employment distribution has been the tendency for people in authority or top management positions to favour their kinsmen in recruitment. Appointments for example, were observed to be tilted in favour of the South-West and North respectively during the administrations of President Obasanjo and the Late President Umaru Yar'Adua. (Adesina and Olope, 2010).

In post-independence Nigeria, the North tend to have dominated the Office of the President and the executive arms of government as shown in Tables 2 and 3. The emergence of Olusegun Obansanjo and Goodluck Jonathan as Heads of State/President were at first by accident. The brief rule by Gen. Ironsi as Head of State in 1966 was by virtue of being the highest ranking officer after the first military coup which he never sponsored. Obasanjo's first tenure as Head of State followed the assassination of Murtala Mohammed.

**Table 3**  
*Ethnic Composition of Key Ministries from 1960-2011*

MINISTRIES DEFENCE INTERIOR FCT					MINES&POWER
S/N	REGIME	MINISTER/REGION			MINISTER/REGION
<b>1.</b>					Balewa 1960-1966
.	Gowon 1966-1975	Mohammadu Ri badu/North	UsmanSani Ali/ North		MallamMaitama Sule / North
.	M. Mohammed 1975-1976	Yakubu Gowon/ North	Km Salem / North		Dr.RusselDikko / North
.	O.Obasanjo 1976-1979	I.D. Bisalla / North	U.A.Shinkafi/ North		Mr.Effionm. O.Ekong/ South
.	O.Obasanjo 1976-1979	O.Obasanjo/ South	U.A.Shinkafi/ North	A.Adeogun / South	Alh.ShehuKangiwa/ North
.	Shagari 1979-1983		Mr. M.O. Yusuf/ North		

.	Shagari 1979- 1983	IyaAbubakar / North	Dr.W.Dosunmu / South	Jatau. Kadiya / North	Ibrahim M. Hassan/ North	
	. Buhari 1983- 1985	AkanbiOniyangi / North	IyaAbubakar / North	I.Danmusa / North		
			MaitamaSule / North	H.Dantoro / North		
			Baba Ali / North			
.	Buhari 1983- 1985	M.Buhari / North	M.Magoro / North	M.Vatsa / North	Alh. RilwanLukman / North	
	. Babangid a 1985- 1993	Domkat Bali / North				
.	Babangid a 1985- 1993	Domkat Bali / North	LabertGwam / North	M. Vatsa / North	AVM Nura Imam / North	
			John Shagaya / North	H.Abdullahi / North		
		SaniAbacha	Domkat Bali / North	G. Nasko / North		
.	Shonekan 1993- 1993		A.B.Mamman/ North			
			Dr. TunjiOlagunju/ North			
			A.Okene / North			
.	Abacha 1993- 1998	S. Abacha / North	S. Yusuf / North	G. Nasko / North	Alh. Hassan Adamu/ North	
.	Abacha 1993- 1998	S.Abacha / North	Alex Ibru / South	J.T. Useni / North	Bashir Dalhatu / North	
			B. Dalhatu / North			
			B. Kingigbe / North			
0.	Abubakar 1998- 1999					
1.	Obasanjo 1999- 2007	AbubakarAbdul salam / North	M. Yakubu / North	M. Kontogora / North		
1.	Obasanjo 1999- 2007	T.Y. Danjuma / North	S.Afolabi / South	B. Sheri / North	Lesley Obiora / South	
		2. Yar'Adua 2007- 2010	R. Kwankoso / North	M.Shata / North		M. Abba Gana / North
			T.AguinyiIronsi/ South	O.Adeniji / South		N. El-Rufai / North
2.	Yar'Adua 2007- 2010	Y. Ahmed / North	G. Abbe / South	M. Modibbo / North		
		3. Jonathan 2010 to date	S.Ibrahim / North	S. Ibrahim / North		A. Aliero/ North
		G.Abbe / South				

<b>3.</b>	Jonathan 2010 to date	A.Kayode / South	E. Iheanacho / South	B. Mohammed / North	Mohammed M. Sada / North
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Source: *Adapted from Adeosun (2011:8)*

The stop-gap rule of Ernest Shonekan (South-West Yoruba) during the Interim National Government was aimed at appeasing the South-West engulfed in a turmoil following the annulment of the presidential election believed to have been won by the South-West Yoruba, Moshood Abiola. So was the emergence of Obasanjo, a South-West Yoruba in his second tenure as President. The emergence of Goodluck Jonathan stemmed from his being Vice President to Umaru Musa Yar'Adua, who died in office. The North did not only dominate the political rulership, it also has near monopoly of the leadership of key ministries. It also dominated cabinet positions Adeosun (2011: 6-8), as illustrated in Table 4. The same picture is captured by Mustapha (2007:7) also in respect of cabinet positions, vide Table 5.

**Table 4**

*Ethnic Composition of Various Nigeria Cabinets, 1960–2004 (in percentage)*

Regime	Hausa/Fulani	Igbo	Northern Minorities	Yoruba	Southern Minorities
<b>Balewa 1960</b>	60	13	0	20	6.7
<b>Gowon 1967</b>	21	0	21	36	21
<b>Murtala 1975</b>	25	0	35	35	5
<b>Shagari 1983</b>	38	8.8	20.5	14.7	17.6
<b>Buhari 1984</b>	35	10	25	20	10
<b>Obasanjo 2004</b>	30	15	18	18	18

*Adapted from Mustapha (2007:7)*

**Table 5***Ethnic Distribution of Very Important Portfolio 1960-2004*

	Hausa/Fulani	Northern Minorities	Igbo	Yoruba	Southern Minorities	Total Number
Very Important Portfolio	49 (33%)	37 (25%)	17(11.6%)	24 (16%)	20 (13.6%)	147
Less Important Portfolio	6 (13%)	5 (11%)	10 (22%)	13(28.9%)	11(24%)	45

*Adapted from Mustapha (2007:7)*

The very important portfolios include Finance, Agriculture, Internal Affairs, External Affairs, Education, Federal Capital Territory, Defence, Mines and Power. Adeosun (2007:7) believes that inclusion of the Abacha and Abdulsalami cabinet would not fundamentally alter the position or conclusion derivable from the Tables 4 and 5. The less important portfolios include Labour and Productivity, Information, Science and Technology, Sports and Social Development, Women Affairs, Culture and Tourism.

The legislative arm has tended to be more balanced in composition primarily because of the more direct nature of representation implicit in the electoral process and constituency delineation (Mustapha 2007:7).

### **Southern (ethnic) Domination of the Bureaucracy**

The application of quota notwithstanding, the Southern control of the bureaucracy persists. Table 6 shows the ethno-regional disparities in employment in the mid-1990s. Northern zones best trend is in the Directorate or Senior cadre precisely because ‘official policy’ encouraged Northern inclusion through federal character principle (Mustapha 2007:6). The same applies to the very strong representation of the North in the Police Force. While the level of ethno-regional disparity varies from one sector to another, it is clear from the Table 6 that the South-West was over-represented in each sector except the Police. This trend continues

when extended beyond the 1990s to early 2000s whether in terms of total bureaucracy or the senior cadre from level GL08 as in Tables 7 and 8 respectively.

The Northern share in total bureaucracy declined rather than increased between 1996 and 2004 from 38.8% to 35.7% as in Table 7. The South-West produced the highest workforce more than 24% in each of the years except 1999. South-West was followed by South-South whose share ranged between 20% and 22% each year. The share of North-East tangentially improved between 1996 (8.2%) and 2004 (8.6%).

**Table 6**

*Ethno-Regional Tendencies in the Staffing of Federal Bureaucracies (Mid 1990s)*

Zone % of Pop.	Percentage in all bureaucracy	Zone	Percentage in all bureaucracy
<b>NW (25.6)</b>	10.4	SW (19.7)	24.9
<b>NE (13.6)</b>	8.6	SE (11.7)	16
<b>NC (13.5)</b>	18.4	SS (15.0)	20.7
	<b>Percentage in the Directorate</b>		<b>Percentage in the Directorate</b>
<b>NW (25.6)</b>	16.8	SW (19.7)	24.4
<b>NE (13.6)</b>	12.7	SE (11.7)	13.4
<b>NC (13.5)</b>	16.4	SS (15.0)	15.8
	<b>Percentage in the Technocracy</b>		<b>Percentage in the Technocracy</b>
<b>NW (25.6)</b>	7.9	SW (19.7)	30.5
<b>NE (13.6)</b>	8.3	SE (11.7)	21.5
<b>NC (13.5)</b>	12.8	SS (15.0)	21.6
	<b>Percentage in Police</b>		<b>Percentage in Police</b>
<b>NW (25.6)</b>	12	SW (19.7)	14
<b>NE (13.6)</b>	12.7	SE (11.7)	12.4
<b>NC (13.5)</b>	22	SS (15.0)	26.1

*Adapted from Mustapha (2007:7)*

**Table 7**

*Trends in Representation of Federal Bureaucracy (All Categories) 1996-2004 in*

*Percentages*

Zone	% of 2005 Pop. Census	1996	1997	1998	1999	2000	2002	2003	2004
NW	25.56	12.3	10.4	10.4	10.9	10.4	9.5	10.1	9.5

<b>NE</b>	13.55	8.2	8.3	8.6	9.9	8.6	8.1	8.8	8.6
<b>NC</b>	13.47	18.3	18.3	19.3	21.0	19.3	17.1	17.6	17.6
<b>SW</b>	19.7	24.5	24.9	24.7	20.7	24.9	25.9	24.2	24.4
<b>SE</b>	11.7	16.8	16.1	16.2	14.9	16.0	18.8	18.7	19.4
<b>SS</b>	15	20	21.0	21.0	22.3	20.8	20.6	20.2	20.6

*Source: Adapted from Mustapha (2007:19)*

Table 8 below shows that between 2000 and 2004, a smaller number of states met the FCC targets of 2.5% and 3% representation in the senior bureaucracy (management category). Based on this, the FCC is performing below expectation. In other words, for this period, Nigeria has not achieved passive representation of the bureaucracy in the management category.

**Table 8**

*Trends in Representation of Federal Bureaucracies GL08 and Above (Management Cadre) 2000-2004 Measure Against FCC Formula*

Percent Representation	No. of States			
	2000	2002	2003	2004
<b>4 and above</b>	9	9	9	9
<b>3.1 – 3.9</b>	4	5	5	5
<b>2.5 – 3.0</b>	5	1	3	3
<b>1.5 – 2.4</b>	<b>8</b>	<b>10</b>	<b>8</b>	<b>8</b>
<b>No. of States</b>	37	37	37	37
<b>No. of Ministries and Parastatals</b>	42	30	42	44
<b>No. of Staff</b>	59,302	38,356	74,932	75,855

*Adapted from Mustapha 2007:19; Original source: FCC*

According to the FCC (2006: 25-28), the distribution of staff on GL1-15+ (i.e., all categories) showed that seventeen states ( about 50%) had percentage representation (each) less than 2.5%; fifteen states (40%) constituted above 3.0%, while only 4 states (about 11%) had percentage representation that was within the prescribed range of between 2.5% and 3.0%.

As the FCC (2006: 8) further shows, the most grossly over-represented states are Ogun, Edo and Imo (SW, SS and SE) -- Southern (Yoruba and Igbo) while the least was Zamfara

(NW). . The Federal Capital Territory never in any of the years met its quota of 1% share of workforce. In the face of the observed failure of the FCC in achieving passive representative bureaucracy for Nigeria, respected elder statesman, Alhaji Shettima Ali Monguno had expressed disappointment over what he saw as “Yorubalisation” in the appointments made into top political offices by the Obasanjo administration (FCC, 2006: 20).

The evidence as given and analyzed above show poor implementation by FCC of the federal character principle in achieving passive representation (employment equity) in Nigeria. The analysis of the survey data on perceptions of staff of the federal public service on various elements of the FCP and representative bureaucracy, provides more insight on the situation.

### **Perceptions of Staff of Federal Civil Service**

It could not be by chance that a rather disturbing situation is observed from comparing the statistical data discussed above with the pattern of distribution of respondents to the complementary survey on the perception of the relatively small sample (52) staff of the Federal Character Commission (FCC) and National Bureau of Statistics (NBS) Abuja. That the statistics in Tables 6 and 7 show that the North East (NE) zone of Nigeria have had the lowest percentage of staff of the federal bureaucracies for the period 1996 to 2004 is not a chance occurrence as we also observe that the NE is not represented in the 52 respondents for our survey data (see Table 9 below). It is important to note that though the sample is relatively small, it was randomly selected, suggesting truly that the NE is underrepresented in the federal civil service.

**Table 9**

*Frequency Distribution of Perceptions of Some Staff of Federal Civil Service on Various Elements of Representative Bureaucracy*

		AGREE	DISAGREE	NOT DECIDED/ DON'T CARE
		N (%)	N (%)	
<hr/>				

				N (%)
1	Employment Equity: Ethnic Groups Are Given Equal Opportunity to Qualify for Employment	12 (23%)	31 (60%)	9 (17%)
2	Application of FCP has Solved Problem of Marginalization and Unequal Representation	11 (21%)	27 (52%)	13 (25%)
3	Application of FCP has Improved Staff Morale (Active Representation)	13 (25%)	22 (42%)	17(32%)
4	Successful Applications are Merited by Candidates' Qualifications	9 (17%)	33 (64%)	10 (19%)
5	<b>Feeling About Nigeria .....</b> .....	<b>Happy-Satisfied</b> 13 (25%)	<b>Marginalized-Frustrated</b> 22 (42%)	<b>Don't Care</b> 17 (32%)
<b>RESPONDENTS BY GEOPOLITICAL ZONE</b>				
North Central (NC) 10 (19%)				
North West (NW) 3 (6%)				
South East (SE) 13 (25%)				
South South (SS) 10 (19%)				
South West (SW) <u>13 (25%)</u>				
52 (100)				

Source: Survey Data

However, among the five northern and southern zones represented in our relatively small sample, a greater majority disagree to the claims of employment equity: that ethnic groups in Nigeria are given equal opportunity for employment, that the application of FCP has solved the problem of marginalization and unequal representation, and that the FCP has improved staff moral (aspirational active-representation) in Nigeria (see Table 9). Above all, a greater majority feel generally marginalized-frustrated (42%) or don't care (32%) as against only 25% who feel happy-satisfied about Nigeria.

When the various staff perception on the various elements of representative bureaucracy are correlated with the geopolitical zones in Nigeria, the perceptions (disagreement on representative bureaucracy) reflected evenly across all the northern and southern zones on two elements, viz: (1) ethnic groups are given equal opportunity to qualify for employment and (2) the application of FCP has solved the problem of marginalization. There is no discernable pattern of variation across the northern-southern geopolitical divide on perceived aspirational active-representation (see Table 10 below).

**Table 10**  
*Various elements of representative Bureaucracy by Geopolitical Zones*

		NC	NW	SE	SW	SS
1	Employment Equity: Ethnic Groups Are Given Equal Opportunity to Qualify for Employment	N (%)		N (%)	N (%)	N (%)
	AGREE.....	4 (40)	N (%) (0)	4 (31)	3(23)	1 (10)
	DISAGREE.....	5(50)	3(10)	6(46)	8(62)	7(70)
	NOT DECIDED.....	1(10)	(0)	3(23)	2(15)	2(20)
2	Application of FCP Has Solved Problem of Marginalization/Unequal Representation	3(33)	(0)(67)	3(23)	4(31)	1(10)
		5(56)	1(33)	5(39)	8(62)	5(50)
				5(39)	1(8)	4(40)

	AGREE.....	1(11)				
	DISAGREE.....					
	NOT DECIDED.....					
3	Perceived/Anticipated Active Representation: Application of FCP Has Improved Staff Morale					
	AGREE.....	4(40)	(0)	4(31)	3(23)	2(20)
	DISAGREE.....	3(30)	1(33)	4(31)	8(62)	5(50)
	NOT DECIDED.....	3(30)	2(67)	5(39)	2(15)	3(30)
4	Feeling About Nigeria:					
	HAPPY-SATISFIED.....					
	MARGINALIZED-FRUSTRAED	5(50)	1(33)	2(15)	2(15)	3(30)
	DON'T CARE.....	4(40)	1(33)	11(85)	10(77)	6(60)
		1(10)	1(33)	(0)	1(8)	1(10)

Source: Survey Data

However, on the feeling about Nigeria (see Table 10 above), it is surprising that a greater majority of staff of the southern geopolitical zones feel marginalized-frustrated, while a relatively higher proportion of the NC staff (50%) feel happy-satisfied about Nigeria. It should be noted that the North Central zone constitute the Northern minority ethnic groups, and not-surprising, the data in Tables 6 and 7 above show that the NC geopolitical zones are generally well represented more than the other northern zones, and therefore they have cause to feel happy-satisfied with Nigeria. The feeling of marginalized-frustrated expressed by the southern geographical zone may be agitation against the northern political dominance.

## **Employment in the Public Service of Canada**

Employment equity, like affirmative action or federal character principle, is a policy or programme designed to ensure equal opportunity in employment to all groups in diverse or plural societies. Canada's employment equity policy, which has been in force in the federal sector for over a quarter century primarily to develop a public service that is representative of Canada's population, has recorded advances for Canada's equity groups (Agocs, 2012).

The 1995 Employment Equity Act in Canada identifies and defines the four designated equity groups as:

1. Women
2. Aboriginal people – people who are Indian, Inuit or Metis
3. Persons with disabilities – people with a long-term or recurring physical, mental, sensory, psychiatric or learning impairment who consider themselves to be disadvantaged in employment by reason of that impairment or who believe that an employer or potential employer is likely to consider them to be disadvantaged in employment by reason of that impairment, as well as individuals with functional limitations due to their impairment that have been accommodated in their current job or workplace; and
4. Members of visible minorities -- persons, other than Aboriginal peoples, who are non-Caucasian in race or not-white in colour.

As Agocs (2012) reports the History of Canada's Federal Public Service Toward Representative Bureaucracy:

From the passage of the Civil Service Act in 1918 until after World War 2, the public service of Canada was an elite institution whose management ranks were populated largely by highly educated white Anglophone men of middle class Protestant British origins. In line with the Weberian model of bureaucracy,

this type of organization is hierarchical, governed by rules such as political neutrality and the merit principle and characterized by careers based on credentialism and professional specialization....

During the 1950s through 1970s, as the Canadian welfare state took shape, the federal public service expanded in size and developed a somewhat broader demographic profile... The opening of opportunities for university education to growing numbers of women and members of working class and minority communities began the transformation of the public service from an elite and exclusive institution to one more appropriate to a democracy and more reflective of the diversity of Canada's population.

The Employment Equity Act of 1995 broadened the employment equity policy in Canada to include the federally regulated private sector as well as government employers and accordingly set in motion a mandatory process of removing persisting barriers to access and career development for women, visible minorities, Aboriginal people and persons with disabilities. But very importantly, while the Employment Equity policy in Canada notes that "the merit principle is at the core of employment equity" (Treasury Board Policy Suite 1999,4) and in 2002, the Public Service Commission expanded the definition of merit to encompass a public service that is competent, non-partisan and representative, the 2005 Public Service Employment Act further defined merit to include meeting "the essential qualifications of the position, including official language proficiency" (Agocs, 2012).

To the question, how representative is the Public Service of Canada? Agocs (2012) presented 1997, 2002, 2007 and 2011 data to show indicators of inequality between equity groups employed in the public service as a whole and between the equity groups and their representation in the population from which the public service recruits (i.e., workforce availability), but notes as follows:

- (a) The representation of women and Aboriginal people in the public service increased gradually and remained in excess of their workforce availability. Therefore, with respect to access to employment, the public service of Canada is representative of women and the Aboriginal people.
- (b) Public service employees with disabilities experience inequality. In 2007 and 2011, they were over-represented in the lowest salary category and under-represented in the highest salary group.
- (c) The representation of visible minorities in the public service has consistently lagged their workforce availability quite significantly. Visible minorities are significantly under-represented among employees in indeterminate appointments as well as among the executive group compared with their presence in the public service. As to salary, they were slightly over-represented in the lowest salary group and under-represented in the highest category. Thus, “the federal public service has not been a representative bureaucracy for visible minorities and there is little indication that this situation will improve if present trends continue” (Agocs, 2012).

In answer to the question: Has Employment Equity Made the Public Service of Canada a Representative Bureaucracy? Agocs (2012) summarily reported:

The analysis of data reported by the federal public service has shown that on the basis of access to employment alone, representation of all four equity groups has increased over time, and the public service is a representative bureaucracy for women, Aboriginal people and persons with disabilities, but not for visible minorities. ... (but) if we consider factors beyond mere access, including representation in the executive group and indicators of inequality in salary and appointment status, all equity groups face persistent inequality.

## Conclusion

In all, the modest achievements of the FCP notwithstanding, our descriptive analysis of available data on Nigeria suggest the failure of the Federal Character Principle to achieve passive representative bureaucracy among the states/geopolitical zones (major and minority ethnic groups) up to the mid-2000s period of available data.

In Nigeria, the North (Hausa/Fulani ethnic group) dominates in political leadership (executive) positions, while the South (Yoruba and Ibo ethnic groups) dominates the bureaucracy. The Northern (Hausa/Fulani) zones of Nigeria trend best in the senior cadre positions due to gains from the quota system of the FCP. The South West (Yoruba) has been over-represented in the bureaucracy, followed by the South South (southern minority ethnic groups put together). In other words, the Yoruba and the Ibo as majority ethnic groups as well as the southern minority ethnic groups dominate the bureaucracy, while the north (Hausa/Fulani) and the northern minority groups trail behind, even as the northern minority groups perform better than the northern majority ethnic groups. But generally, few (only 4 or 11%) states in Nigeria met the FCC target of 2.5%-3% equitable representation.

Interestingly, a greater majority of the surveyed staff of the Nigerian federal civil service support our findings from available statistical data, perceiving unequal representation of the bureaucracy, that the FCP has not solved the problem of marginalization and unequal representation in Nigeria. They also feel that the implementation of the FCP has not improved staff morale or what we call aspirational-active-representation in Nigeria. If staff morale is a measure of the readiness of staff to work and perform to provide the needs of the population group they symbolically represent, the lack of morale means inability to perform to satisfy the needs of the people they represent. Thus aspirational-active-representation was found lacking among the surveyed staff of the Nigerian federal civil service. As a result, a greater majority of

the surveyed staff feel generally marginalized-frustrated or don't care. Only a few percentage feel happy-satisfied about Nigeria.

In contrast to the Nigerian situation, available data suggest that in Canada, on the basis of employment access, there is passive representative bureaucracy for all the equity groups except for visible minorities (i.e., **non-whites**), but beyond access to employment (viz: on salary and executive positions, there is inequality for all equity groups in Canada.

Thus, the pattern of challenge posed by representative bureaucracy/employment equity to governance in Canada is a challenge of racial discrimination, while Nigeria's case is a challenge of ethnicity. In developed nations like Canada where discriminations tend to occur along non-traditional lines (viz: gender, disability, nativity), the challenge of employment equity tend to be less tense. Nigeria's colonial history created a traditionally heterogeneous society on ethno-linguistic and religious bases.

In a diverse, slightly racially divided – majority white, minority-non-white society, such as Canada, the threat in the lack of passive representation or gap in the expected passive-active representation link, could be light, but in plural, ethnically divided (multiple majority and minority ethnic groups) society, such as Nigeria, the socio-political threat from the lack of passive representation or gap in the expected passive-active representation link could be serious.

Nigeria is a tripodal ethnic structure. Tripodal ethnic structures are inherently unstable, especially compared to countries like Tanzania which has fragmented ethnic structure. In Tanzania, no ethnic group constitutes more than 12% of the population... By contrast, ethnic politics in tripodal Nigeria is conflictual as each of the three hegemonic groups tries to build up sufficient alliances to ensure its preponderance in government, or to prevent its being marginalized by competing alliance (Mustapha, 2007).

The interplay between this tripodal ethnic structure on the one hand, and administrative divisions and communal identities on the other, has led to eight major cleavages in Nigerian political life..., the most important of which are: the cleavages between the three majority ethnic groups; between the three majority ethnic groups on the one hand and the 350-odd minority ethnic groups on the other; between the north and the south; between the 36 states of the federation and the zix zones – three in the north and three in the south – into which they are grouped; and finally, between different religious affiliations (Mustapha, 2007).

The combination of a tripodal ethnic structure, deep cleavages and systematic educational, economic and social inequalities have led to a conflict-ridden Nigerian political system, characterized by fear of discrimination and domination or what O’Connel (1967) referred to as ‘aggressive ethnicity.’ Sadly, this is the character of present day Nigerian society.

In the light of the foregoing, does the observed failure of the FCT in Nigeria or Employment Equity for visible minorities in Canada mean that representative bureaucracy is not desirable as critiques would insist, or as Cathy Parker’s Blog would observe and question?

Representative bureaucracy has been driven more by legislation than a genuine belief that it will improve policy making and service delivery, as it has focused almost entirely on trying to ensure that workforces are reflective of ethnicity, disability and gender. But what about people that don’t own cars? How well are they represented? (Prof. Cathy Parker’s Blog – <https://profcatyparker.wordpress.com/tag/representative-bureaucracy>).

No. Representative bureaucracy is a necessity. The concept of representative bureaucracy points to the role of the government as a model employer (Agocs, 2012). In the discourse of representative bureaucracy, our primary interest is on “passive representation ---

regarded as an **aspirational** aim for making the bureaucracy more democratic and very importantly, **to alleviate social tensions...**” while ensuring political power-balance, equal opportunity, and diversity management (Groeneveld and Van de Walle, 2010).

By achieving power-balance, representation of the civil service towards the ruling class helps states to establish control and guarantee harmony and stability (Kingsley, 1944) because, when the bureaucracy is representative of the ruling class, it contributes to effectiveness and social harmony.

By achieving equal opportunity through its traditional middle and working class focus, representative bureaucracy emphasizes on reconciling bureaucracy with democracy and on equal opportunities in its distinction between active and passive representation (Mosher, 1968; Dolan and Rosenbloom, 2003).

By diversity management, representative bureaucracy focuses on the benefits of diversity for the performance of public sector organizations (Pits, 2005; Wise and Tschirhart, 2000). Though *en vogue* in western countries, “diversity management is an a-political approach to representative bureaucracy, and mainly serves public sector organizations themselves, their employees, and citizens as clients. Nation building on the other hand is a highly political activity. The implication of this observation is that a diversity management approach in fragile or emerging states will contribute little to nothing to nation building. Diversity management is not concerned with political power, democratic equality, equal opportunity, or social justice. Diversity management does not build a state and does not create a nation” (Groeneveld and Van de Walle, 2010). Thus, for its socio-political benefits in power-balancing and ensuring equal opportunity, Nigeria will gain in nation-building by continuing to pursue the policy and implementation of the Federal Character Principle.

Accordingly, as a contribution to nation-building in Nigeria, we recommend that the national and state governments of the northern geopolitical zones should embark on

educational and employment equity policies and programmes that would facilitate closing the gap in the representation of the northern geopolitical zones in the federal civil service, while the southern geopolitical zones pursue political strategies to achieve a balance in substantive (political) representation or appropriately take their turns in political dominance. If this is achieved, the battle ground for resolving ethno-regional conflicts and tensions in Nigeria will be concentrated on substantive (elective and appointive political/executive position) representation, which of course will be resolved by the electoral process as Nigeria's democracy matures.

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## **How Undergraduate Math Students' Perceptions of the Tutoring Environment Relate to Time Spent in Math Tutoring**

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### **Abstract**

In 2012 the ACT reported that only 48 of high school students tested were considered college ready for mathematics. To help underprepared students learning assistance in the form of tutoring is often suggested. The environment that the students are tutored in is the subject of this study. Some experts recommend making the tutoring environment look friendly, and that the tutors should express empathy towards the tutees. However there is not much quantitative data on whether tutees' perceptions of the tutoring environment have any relationship to the use of tutoring. The purpose of this study was to investigate correlations among the number of hours spent in tutoring and the perceptions of the tutoring environment. A total of 94 students were surveyed from two different private universities. The tutees were asked questions to rate various aspects of the tutoring space, the tutors, and levels of distraction during tutoring. They were then asked to report the amount of time they spent in tutoring each week. The data was analyzed using the Statistical Package for the Social Sciences. The relationships that were found will be discussed.

*Keywords:* tutoring, mathematics education, learning environment

## **How Undergraduate Math Students' Perceptions of the Tutoring Environment Relate to Time Spent in Math Tutoring**

Tutoring is a common across many postsecondary institutions (Rheinheimer, Grace-Odeleye, Francois, & Kusorgbor, 2010). With the popularity of tutoring centers there are many suggestions about how to set up the tutoring environment (Marland & Rogers, 1997; Rabow, Chin, & Fahimian, 1999), but little quantifiable research has been done to explain whether the way students feel about the tutoring environment makes a difference in the use of tutoring. It may seem reasonable to conclude that students will spend less time in tutoring if they feel negatively about the tutor or the tutoring room. However, whether students' perceptions of the tutoring environment actually make a difference in frequency of tutoring is unknown. The research question this study will address is how are perceptions of the tutoring environment related to the number of hours per week spent in the tutoring center?

### **Method**

A correlational methodology was used to answer the research question of how the number of hours spent in mathematics tutoring related to the way students perceive the learning environment. This methodology according to Creswell (2008) is used to "relate two or more variables to see if they influence each other" (p. 356). Therefore a correlational design fits with the investigation between perceptions and hours spent in tutoring.

### **Instrument**

The survey used asked twelve questions regarding the student perceptions of the learning environment (see figure 1). These questions were answered on a four point Likert scale. The survey also asked the students to identify whether they were tutored in the math lab, or outside the math lab. In addition the students were asked to identify whether they only received tutoring during exam week or they were tutored other times. Finally the students identified the average number of hours per week they spent receiving tutoring. If a student

reported an interval of time, then the average was used. For example if a student reported spending 2 to 3 hours in tutoring then 2.5 was recorded as their average hours per week.

*Figure 1.* Questions rating the perceptions of the tutoring environment.

Answer the following questions with one of the following values.  
1 = strongly disagree  
2 = disagree  
3 = agree  
4 = strongly agree.

1. The tutors are able to answer my questions.	5. The tutor makes time for me.
2. The tutors are able to explain concepts in more than one way.	6. The tutor is dedicated to my success.
3. The tutor treats me with respect.	7. I often get distracted during tutoring.
4. The tutor lets me do the work.	8. The tutor often gets distracted during tutoring.
	9. The tutoring environment is often a quiet place for me to get work done.
	10. The tutoring environment provides enough light for me to get work done.
	11. I find the tutoring environment aesthetically pleasing.
	12. I find the tutoring environment comfortable.

A total of 94 undergraduate students were surveyed from two different private

universities in Texas. At the time of the study these students were enrolled in a lecture style, semester long, developmental math, college algebra, precalculus, or calculus course. The surveys were administered during the mathematics class' periods with the permission and supervision of the instructors.

### Analysis

The Statistical Package for the Social Sciences (SPSS) was used to code and analyze the data. Before investigating the research question a principle component analysis was performed on the 12 items regarding perception of the tutoring environment.

Before addressing the research question a dimension reduction was performed on the 12 items regarding perception of the tutoring environment. The initial conjecture was that there would be three factors of environmental perceptions: tutor, distraction, and space. Items 1 through 6 rate aspects of the tutor, items 7 and 8 rate distractions of the tutor and tutee, and items 9 through 12 rate aspects of the tutoring space. A principle component analysis was performed separately for each factor. If a one-component solution was obtained then the assumption of each factor forming a single construct is supported. A Cronbach's alpha coefficient was calculated to measure internal reliability within factors. According to George

and Mallery (2003), an alpha greater than .7 indicates internal consistency. The principle component analysis and Cronbach's alphas are shown in Table 1. The Cronbach's alpha values are greater than .7 for both tutor perceptions and space perceptions. Therefore the average of items 1 through 6 was used to measure tutor perceptions and the average of items 9 through 12 was used to measure space perception. Since distraction had an alpha value below .7, item 7 (tutee distraction) and item 8 (tutor distraction) were used separately in the analysis.

**Table 1**

*Principle Component Analysis for the Perceptions of the Tutoring Environment*

<b>Factor</b>	<b>KMO</b>	<b>Eigenvalue</b>	<b>% of Variance</b>	<b>Item</b>	<b>Factor Loading</b>	<b>Alpha</b>
<b>Tutor Perceptions</b>	.84	3.15	52.56	1	.72	.82
				2	.63	
				3	.76	
				4	.68	
				5	.74	
				6	.80	
<b>Space Perceptions</b>	.72	2.29	57.21	9	.67	.75
				10	.70	
				11	.80	
				12	.84	
<b>Distraction</b>	.50	1.30		7	.82	.52
				8	.82	

## Results

To investigate correlations between the ordinal perceptions of the tutoring environment variables and hours spent in tutoring, Kendal tau-c values were calculated (Norusis, 2008). One extreme outlier who reported receiving tutoring for 60 hours a week was removed. Students were categorized as either having received tutoring only during exam week, or received tutoring other than exam week. The cases were further categorized with tutored in the math lab, and tutored outside of the math lab.

First the relationship between tutor perceptions and hours was examined. The results are summarized in Table 2. No significant correlations were found, so no relationship between students' perception of the tutor and hours spent in tutoring can be assumed.

**Table 2**

*Kendall Tau-C Values Between Tutor Perceptions and Tutoring Hours*

	$\tau$	$n$	$p$
<b><u>Other than Test Week</u></b>			
<b>Hours tutored</b>	.03	150	.59
<b>Hours tutored in the math lab</b>	.09	97	.26
<b>Hours tutored outside the math lab</b>	.01	73	.89
<b><u>Test Week Only</u></b>			
<b>Hours tutored</b>	-.01	98	.87
<b>Hours tutored in the math lab</b>	.06	59	.60
<b>Hours tutored outside the math lab</b>	.16	41	.11

Next the relationship between space perception and hours was examined. The results are summarized in Table 3. The only significant result found was for students tutored other than test week. The negative  $\tau$  value means that the higher the students thought of the space, they were likely to spend fewer hours tutored.

**Table 3**

*Kendall Tau-C Values Between Space Perceptions and Tutoring Hours*

	$\tau$	$n$	$p$
<b><u>Other than Test Week</u></b>			
<b>Hours tutored</b>	.15	152	.01
<b>Hours tutored in the math lab</b>	.08	98	.29
<b>Hours tutored outside the math lab</b>	.10	75	.22
<b><u>Test Week Only</u></b>			
<b>Hours tutored</b>	.02	99	.75
<b>Hours tutored in the math lab</b>	.02	60	.81
<b>Hours tutored outside the math lab</b>	.08	41	.52

Following the tutor and space perceptions, Kendal tau-c values were calculated between tutee distraction and hours. Table 4 summarizes the results. No significant correlations were

found, therefore no relationship can be assumed between perception of tutee distraction and hours spent in tutoring.

**Table 4**

*Kendall Tau-C Values Between Tutee Distraction and Tutoring Hours*

	$\tau$	$n$	$p$
<b><u>Other than Test Week</u></b>			
<b>Hours tutored</b>	.02	1	.74
<b>Hours tutored in the math lab</b>	.04	97	.61
<b>Hours tutored outside the math lab</b>	.04	75	.71
<b><u>Test Week Only</u></b>			
<b>Hours tutored</b>	.07	99	.43
<b>Hours tutored in the math lab</b>	.03	60	.78
<b>Hours tutored outside the math lab</b>	.21	41	.12

Finally, the relationship between tutor distraction and hours spent in tutoring was investigated. Table 5 summarizes the results. There was one significant correlation for students who are tutored in the math lab during test week. This suggests a relationship between hours tutored in the math lab during test week and how distracted the student feels the tutor is. The negative relationships indicates that the more distracted a student feels that the tutor is, the fewer hours the student will spend in the math lab during test week.

**Table 5**

*Kendall Tau-C Values Between Tutor Distraction and Tutoring Hours*

	$\tau$	$n$	$p$
<b><u>Other than Test Week</u></b>			
<b>Hours tutored</b>	.00	152	.98
<b>Hours tutored in the math lab</b>	.06	98	.46
<b>Hours tutored outside the math lab</b>	.00	75	.97
<b><u>Test Week Only</u></b>			
<b>Hours tutored</b>	.14	99	.09
<b>Hours tutored in the math lab</b>	.20	60	.049
<b>Hours tutored outside the math lab</b>	.05	41	.74

Out of the four environmental perception variables, two significant relationships were discovered. A negative relationship between space perception and hours tutored outside of test

week and a negative relationship between tutor distraction and hours tutored in the math lab during test week. No relationship can be assumed between perceptions about the tutor or tutee distraction and hour spent in tutoring.

### **Discussion**

This study found no evidence to support the notion that creating a comfortable learning space has any benefit to the tutoring center which many scholars recommend (Bosch, 2006; Marland & Rogers, 1997; Rabow, Chin, & Fahimian, 1999; Simmons, 2002). In fact the correlation found that for students tutored other than test week, the higher a student felt about the tutoring space, the less time the student spent in tutoring.

The results of this study are subject to some limitations. This study did not find a relationship between the way the students felt about the tutor and hours spent in tutoring, and there was no positive relationship between the way the students felt about the tutoring space and hours spent in tutoring. However, the students who did not receive tutoring were not addressed. For example, some students may have chosen to not receive tutoring because they did not like the atmosphere of the tutoring center, or because of the attitude of the tutors. Therefore once a student chose to obtain tutoring, positive feelings about the space or tutor did not mean the student was more likely to stay longer; but the feelings about the space or tutor may influence whether or not a student is tutored in the first place.

It also was found the level of tutor distraction which the student perceives was related to the hours tutored for students who only use tutoring services during test week. This supports the literature's notion that tutoring centers need to minimize distractions (Cassidy & Macdonald, 2007; Emmer & Evertson, 2009; Gall, Gall, Jacobsen, & Bullock, 1999). It may benefit tutoring centers to train the tutors to stay focused on the tutee. However it was only students who waited until exam week who spent less time in tutoring if they felt the tutor was distracted. These students may perceive that the tutor is more distracted because they are in a

rush to study for the exam. Therefore it may also be beneficial for tutoring centers to find a way to keep students from waiting until the week of an exam to receive tutoring.

### **Future Research**

Future research would help address the limitations of this study. It would be beneficial to explore why the students who never got tutored did not use tutoring. Did they not like the atmosphere, did they not like the tutors, and so on? This would give a more complete picture of how perceptions of the tutoring environment influence use of tutoring.

### **Conclusion**

Tutoring is a popular form of learning assistance in postsecondary education. There are many factors that influence how long students spend in tutoring. This study did not find any strong evidence that perceptions of the tutoring environment influenced the students' hours in tutoring other than space perception (which was unexpectedly negatively correlated with hours spent in tutoring), and tutor distraction during test week. Future research will help understand what factors influence students' likelihood to use tutoring services.

### **Author Biography**

Matthew Shirley has a B.A. in mathematics from St. Edward's University and M.S. in mathematics from Texas Tech University. He has been teaching mathematics at postsecondary institutions since 2000. He has managed two different mathematics tutoring centers at two different universities. He is currently working towards the expected completion of his PhD in mathematics education Spring 2015.

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## **A Study on R&D Concept and Technoparks Operating in Turkey**

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### **Abstract**

Today, in this competitive environment created by globalization and new technologies, the ability to achieve international competitiveness depends on the ability to produce technology. In fact, the concept of technology, starting with human history, either directly or indirectly affects every sector of society. In particular, it is very important to track the technological development for businesses which do not want to lag behind the competition and achieve the success in this area. Besides, Research and Development activities that constitute the starting point for technological activities are considered important sources of innovation for businesses. In many developed and developing countries, the significant amount of value-added in manufacturing and services sectors is formed through R&D activities carried by technoparks. The aim of this study is to give detailed information about the Technoparks in Turkey depending on the increasing ability of innovation and technology in businesses

*Keywords:* research and development, technology, technopark

### **A Study on R&D Concept and Technoparks Operating in Turkey**

Recently, during the process of production of goods or services, technology and information technology are also included as well as the factors of production such as; labor, capital, and entrepreneurship. The production of information and progress are important key factors for, businesses, countries and economies. Globalization and the development of technology and market actors' have led a more dynamic competitive environment (Güleş and Bülbül 2004: 30). Today, in this competitive environment created by globalization and new technologies, the ability to achieve international competitiveness depends on the ability to produce technology.

In fact, the concept of technology, starting with human history, either directly or indirectly affects every sector of society. In particular, it is very important to track the technological development for businesses which do not want to lag behind the competition and achieve the success in this area. Technology with its dictionary definition is the knowledge of application of construction methods, tools and equipment including their use related to an industry. Technology is the sum of all tools and the information related to them developed by human to control and change the material environment. It is an undeniable fact that science and technology is based creativity. Creativity leads the emergence of new technologies, new technologies lead the increase of the competitiveness that leads profitability which brings creativity (Zerenler et al., 2007: 656).

Anyone who manages a business must, go beyond the competition, and must be (sur/petition) (Bills, 2008: 9). The key factor that determines the competitiveness is R&D and innovation based high and sustainable productivity increase (Zerenler et al., 2007: 656). The main determinant of competitive higher (sur/petition ); is the ability to apply the innovations to the business that bring value to business In this regard, Research and Development activities are very important sources of innovation for businesses.

According to the definition made by the OECD, the R&D are regular studies to acquire new new information that provides development of science and technology or produce new materials products and tools, create new system, process and services including software production and improve the existing ones. science and to acquire new knowledge to ensure the development of technologies or new materials available data, to produce products and tools, new systems, including software production, create processes and services or are regular studies with the goal of improving existing ones. One of the most important goals of R&D is to increase the profitability of companies using technological developments and to maximize the company's value. Today, developing new technology, namely "to create intellectual capital" is much more important and difficult than creating financial capital. The intellectual capital plays a major role in the development of research and development ("Virtual", Date of Access: 09.05.2014). Although R&D requires large investments, it has now become an element of importance given by all businesses including small or large -sized companies.

In many developed and developing countries a very important part of the added value occurring in the manufacturing and service sectors emerge as a result of R&D activities especially carried out by technoparks. Especially in developed countries like the US and Japan, as a result of the importance given to R&D, it can be said that large shares of investment are allocated and these countries gain significant results in the development of technologies. R&D activities carried out in Turkey have been given more attention after the enactment of Technology Development Zone Law in 2001. In particular, universities and public institutions have become important R&D centers in our country. We can say that the technological innovations created by R&D studies carried out in these centers lead commercial success and increase level of development of our country. This means continuous improvement of R&D activities, enrichment and promotion of them is a great importance for our businesses and country.

## **R&D Concept**

Twenty-first century; is referred as information age, the age of technology, and also referred as speed and change era. Developments which were occurring in decades in industrial society, now take place in several months, or even a matter of days in age of information. Therefore the latest technologies come to an end in a much shorter time. For this reason, R & D work carried out, rather than a requirement, is now becoming a necessity. Therefore, in the rapidly changing market conditions, for businesses giving importance to R&D activities for keeping up innovative formations is significantly associated with their survival. Businesses those are able to perform technological inventions and innovations before their competitors will adapt the rapid changes and will be able to provide continuity.

The most important factor that can be used in establishing a strategic competitive advantage is technology. Buying technology is considered as a rather large cost item for businesses. Producing technology in-house is only possible by giving importance to R&D work.

Research and development includes, a wide range of activities starting from finding new principles of nature to production of new useful products and tools responding to human needs (Barutçugil, 2009: 27). The concept of R&D; is closely related to concepts of basic research, applied research and development. In this context some prior information will be given about the concepts and finally, the definition of research and development concept will be done.

## **Basic Research**

Although there are many different definitions of; basic (pure) research is the type of research that has the aim to add new information to existing (Kara, 2002: 98).

Basic research; is the original work aiming the development of scientific knowledge. Although there is no particular commercial objective, these studies can reveal useful information for the current or future activity fields of industry (Barutçugil, 2009: 28).

Basic research, are the activities of businesses operating in dynamic environment and referred as open system organization to acquire new information and understandings. In other words, far from pursuing a commercial purpose, they are the scientific efforts targeted at developing objective basis for science and technology (Güleş and Bülbül, 2004: 348).

Basic research according to Gök, basic search is, without aiming long-term economic and social benefits, the implementation of the results to practice or transferring to the responsible sector. It can also be in the form of controlled basic research carried out in anticipation of creating a broad knowledge base that can guide the expected current or future problem sor probabilities (Cited by Kardas, 2009: 10).

### **Applied Research**

Applied research is the research undertaken in order to obtain new information. Applied research is carried out either to determine the basis for the possible use of research findings or new methods or ways to reach the predefined target (Frascati Manual, 2002: 78).

They are the studies on the products and production processes for commercial purposes and aim to obtain new scientific and technical knowledge. These are for the execution of the direct business benefits, and indirectly contribute to the progress of science (Barutçugil, 2009: 27).

Applied research studies are conducted in order to obtain new information about products and production processes for commercial purposes and some specific applications which emerge after basic research. As a result of applied research, scientific and technical information on products and production processes for commercial purposes is obtained and scientific progresses are provided (Güleş and Bülbül, 2004: 350).

## Development

It can be defined as engineering work to transform basic and applied research results into more economical and profitable vehicles, goods, services, systems and manufacturing processes. In general it can be said that reserach represents science and development stands for engineering (Görür, 2006: 4).

Development is the studies to find methods that ensure the application of status and principles revealed by research in an economical manner. Development is the use of scientific knowledge for new or substantially improved materials, products, production processes, systems and services (Güleş and Bülbül, 2004: 351).

On Table 1. The comparison of basic research, applied research and development is summarized.

**Table 1**

*Comparison of Main Characteristics of Basic Research, Applied Research and Development*

<b>RESEARCH TYPES</b>			
<b>Characteristics</b>	<b>Basic</b>	<b>Applied</b>	<b>Development</b>
<b>Main Purpose</b>	Procucing new information and scientific realities	Inventing tools for business	Making changes in inventions to meet innovations to meet the specific needs of the business
<b>Focus</b>	Undirected (lower focus)	General problem solving oriented (moderate focus)	Directed at solving specific problems (high focus)
<b>Source</b>	State and university laboratories; some technological pioneers	Technological pioneers	Technological followers

<b>Philosophy</b>	To expand the frontiers of knowledge, to discover things that will lead to significant changes	To be the pioneer of technological advances in the industry	To Implement technologies and develop them
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Source: Cited by Güleş and Bülbül, Noori 2004: 353.

## **Research and Development**

In the law no.5746 which is on supporting Research and Development Activities; R&D is an activity increasing the information composed of intelligence and culture, human and society and creative studies conducted in a systematic basis for using this in order to conceive new process, system and application, product design or software activities compatible with environment and activities providing scientific and technological developments in its own field, focusing a technological and scientific uncertainty and which its outputs are original (T.R.Official Gazette, 2008).

According to legislation about R&D Support No.22300 published in Turkish Republic Official Gazette on June 1 1995; R&D is the production of something new ,raising the quality of product and that of the standards ,implementation of new methods increasing the productivity ,decreasing the the production costs, developing a better production technology or adapting the new technology to country standards , all the studies and technology adaptation to convert the consequences into useful tools, materials, products, methods, systems (Official Gazette of the Republic of Turkey, 1995).

R&D is an activity increasing the information composed of intelligence and culture, human and society and creative studies conducted in a systematic basis for using this in order to conceive new applications (Frascati Manual, 2002: 80).

Research and development includes, a wide range of activities starting from finding new principles of nature to production of new useful products and tools responding to human needs. However; for the businesses Research and Development refers to all the activities related to, examining of all business functions in the economic aspects with scientific method and of analyzing and the interpretation (Barutçugil, 2009: 27).

R&D is related to scientific and technological uncertainty. However; these activities are not within the definition of R&D (Oslo Manual, 2005: 96).

- Education and training activities
- Some related scientific and technological activities (patent services; policy-making studies, software development, counseling services, scientific conferences, bibliographic services etc.)
- Related industrial activities (innovation activities, acquirement of technology; industrial designs etc.)
- Management and support activities (RE-DE financial services, indirect support activities etc)

### **R&D Applications in the World and in Turkey**

The aim of science and technology is to provide the production of new products and services with lowest cost and highest quality by means of qualified intellectual capital and to provide benefits to the development of country economy. For his reason all the countries especially the developed ones giving importance to science and technologies give more importance to Re-De applications and allocate higher resources for them. In international sense, the importance of Re-De Project spread has been known for a long time. However; in the macroeconomic level there is a distress because the returns which were empirical or in other words experimental can not be estimated (Coe et al, 2008: 1). However, when we look at the formation of the world in general, in the countries where foreign capital entered, we can see to

what extent there is a contribution to Re&De capabilities of the country or whether the contribution improves (Connolly and Hirschey and 2005).

Countries tend to carry out science, technology and innovation activities with certain plan. This plan as a framework includes resources to be transferred to both R&D and innovation activities, creating new institutions and policies, and renewing the existing ones. In addition to these, innovations related to management and bureaucracy is also included in the plans of countries. National R&D strategy is a guiding policy but also is a compelling element to reach certain criteria in terms of the country and creates a binding effect. This arises generally by the time the countries put together some quantitative targets. One of the most beautiful examples is "Science and Innovation Development Strategy" prepared by the Russian Federation which offers a broad perspective until 2015. China has also established a guide book for national science and technology targeting to the 2020.

### **R&D Systems and Policies in the World**

By means of R&D, and using the opportunities in science and technology, many products are currently being developed. Producing innovative products depends on the establishment of a planned and orderly R&D system and establishment of an effective system of Science and Technology to help the the R&D system. The development of an effective Science and Technology system requires a costly operation. There are two essential indicators in the establishment of R&D system and R&D policies. The first of these is R&D expenditure and the other is the production of patents. The most important indicators of scientific and technological system are the funding and the manpower allocated to R&D activities. 95% of R&D activities are made in the developed countries a a result of having allocated enormous financial resources and manpower to research and development activities. On the other hand in the developing countries making up 70% of the world population, only 5% of R&D activities are carried out (Görür, 2006: 25).

The share of the countries in R&D spending in the world, it is an important indicator to what extent the country can compete in the global technology markets. By means of High-tech export the expenditures of R&D worldwide, the United States represents a share of 41.7% followed by Japan with 32.5% and the EU with 18%. The share of Turkey is 0.3% (EU Commission, 21).

According to Nieto, the European Patent Office (EPO) and the US Patent and Trade-Mark Office (USPTO) shed light on the possible debates on the quantitative aspects of technology competition among the US and Japan and EU. According to statistics from the EPO, the EU-15 and EU-25 are behind Japan, but ahead of the United States. According to USPTO statistics, in contrast, the EU's patenting performance is 4-times lower than the US and Japan. The reason for the different results of this is that the different sources of the country's patent office (Cited by Görür, 2006: 25).

Another indication that directs the formation of R&D system is the number patent applications. When we look at the patent application; is still seen that the developed countries are in the upper row. The US is again the leader in the World by patent applications by 33.1%. EU countries follow by 30.9% and Japan by 16.3% (EU Commission, 2008: 68).

### **R&D Activities in Turkey**

Turkey has not completed the industrialization and can not produce its own technology by means of some macroeconomic indicators and displays an image which is not growing strongly and consistently. Also has remained outside of the transition to "information society "which, began rapidly in 1985 in the developed countries. For our country; the fastest way to go from semi-industrialized position, to become the industrial society which can produce its own technology, to increase its share in the global world trade, to close information c the large difference between the information societies and to have a place in the in the high-tech racing ongoing is only possible to determine the right Science and Technology policy and their

implementation with political stability and continuity covering all layers of society. As a result; in addition to size of basic indicators of R&D in major countries in the World, our country should be evaluated as well and the position of our country in R&D activities should be determined and the question how conscious is Turkey about R&D polities needs to be answered (Arioğlu and Girgin, 2001: 1).

Although the forecasts of development plans remain largely on paper, they are used as a tool in Turkey to manage predefined goals of social and cultural development to a target. The determinations about research and development activities in development plans are as follows: "With the First Five-Year Development Plan", the most important issue to be addressed in relation to the development of research today is the absence of a cooperative, incentive scheme that can regulate the research bodies that are in a very messy situation. In the second Five-Year Development Plan there is not an enough environment that can to organize, route and encourage the research. The lack of cooperation and management limits the success. In the Third Five-Year Development Plan, enough cooperation between universities and industry has not been developed and most applications of research in the academic sector could not be transferred to public sector. In the Fourth Five-Year Development Plan, there is the lack of resources allocated to research and development activities and they remain lower than GNP. Also we see the uncertainty of the national science and technology policy which is required for the technology of domestic production. In the Fifth Five-Year Development Plan; priority will be given to research and development studies for the solution of social industrial and economic problems of the country. Considering the limited resources and the development moves of the country, the prior sectors and areas in terms of the research development adaptation and use of advanced technologies will be focused for larger opportunities. A scientific and technological master plan will be prepared appropriate to long-term plans, objectives and strategies and the country's economic, industrial and social development targets. Resources for both basic

research and scientific research will be allocated to priority research facilities which have enough infrastructures and by this way advanced attractions in various sectors will be created. Universities will be encouraged to specialize particularly in certain areas which they are strong and university-industry collaboration will be made more active. In the Sixth Five-Year Development Plan, emphasis is on R&D and technology. A breakthrough in science and technology a training and education infrastructure to support this has been among the main topics of the said plan. In the Eighth Five-Year Development Plan; The R&D activities in the advanced application areas especially "Biotechnology0069, genetic engineering, information and communication technologies, software, new materials, nuclear technology, seas and sea under utilization technologies, major science and clean energy technology have been identified as priority areas (Öğüşlü, 2010: 66).

Addressing R&D activities in Turkey in the framework of a strategic plan started with the establishment of the SPO and TUBITAK in 1963. Before, some industrial plans were applied and the importance of science and technology has been emphasized during the preparation of the plans. The development and implementation of Turkey's R&D policy has gained rapid momentum after the 1980s.

As of 1980, Turkey has entered a new era under the new economic policies that have been adopted. This is a period marked by abandoning import substitution policies, and implementation of export-oriented policy towards integration with the international market. In this framework, although giving importance to science and technology is desired to increase the industrial activities and production, as well as continuing dependence on foreign technology and the the international competition results in companies' preference towards technology transfer in stead of R&D activities.

In this period, the industry has not yet reached a level that produces and develops its own technology, as in the pre-1980 period. Onset of globalization and with the dissemination

of knowledge of the countries, and the transfer of technology is made through imports of machinery and equipment, patents, licenses and know-how agreements. By few foreign companies it was made through by capital investment and technical cooperation (Aktas, 2010: 154).

In 1983, the establishment of Science and Technology High Council has been an important step in dealing with the R&D. Among the duties of the council the following tasks are involved; the conduct of Turkish Science Policy, assistance to government in long-term science and technology policy, determining various objectives, the assignment of government agencies after the prepared programs, the establishment of research centers and research areas ("Virtual", Date of Access: 10.09.2014).

Nowadays, when we look at the studies of Turkey related to R&D system development under the leadership of TUBITAK, we can see the National Science, Technology and Innovation Strategy, Science and Technology Human Resources Strategy and Action Plan, National Innovation Strategy, Science and Technology Policy Implementation Plan.

### **The Concept of Technopark**

Technoparks created with the cooperation of management and experts are spreading rapidly as the areas, increasing the international competitiveness of the country, and giving direction to the world economy and trade. In these days there is passing through information society from an industrial society and societies began to discuss the concept of knowledge and technology rather than capital and labor. Technoparks are the place where the scientific knowledge is used and technology based production is done. The importance of technopark where the formation of new initiatives takes place and university-industry collaboration happens is increasing every day with the influence of globalization.

## **Technopark**

According to the definition of International Association of Science Parks (IASP), Technopark; " is an initiative associated with one or more universities and research centers in formal or in terms of activities, designed to encourage the foundation and development of industrial companies based on knowledge and advanced technology, and has a management function to provide support in business administration matters, It is an initiative based on incentives and ownership (Kaypak 2011: 125).

Technopark is an application that has newly emerged to provide new technological invention by encouraging manpower, to help the new technological developments being carried out in a more appropriate environment, to establish new technology originated enterprises (Eren, 2011: 50).

Technoparks; are the institutions in which the cooperation with industry and universities is embodied, established next to a large university, meeting university's research, accumulated knowledge and training power, the industry's existing resources with the needs and problems in a planned manner at a common point and commercializing the technological and synergistic invention which emerged, in this way serving the regional development, including the people, institutions and organizations in accordance with the economic and social objectives and contribution structures they provide (Bilgili, 2008: 41).

According to Kaplan the purpose of the technoparks is to provide a cooperation between universities, research institutions and industry, to produce technological information in order to make the industry to reach a structure that has an international competitiveness power to make innovations in production methods, to improve the product quality and standards, improve productivity, decrease production costs, to commercialize technological knowledge to support technology-intensive manufacturing and entrepreneurship, to help the small and medium-sized industries adapt the new and advanced technology, to create new investment

opportunities in technology by taking recommendations of the Science and Technology High Council's into account, to create job opportunities for the researchers and the persons who are for creative entrepreneurship, to help the transfer of technology and to create a structure that integrates academic, economic, and social structures in which there is on side or near at least a university or a reserach institution, equipped with modern machinery and high software, which also may include, Research and Development Centers or Institutes, based on new and high-tech and environmentally friendly production units, that will accelerate the entrance of foreign capital (Cited by Görür, 2006: 33).

### **Types of Technopark**

Different definitions may be used to define technoparks showing various embodiments according to the economic and geographical structure, and the level of technology used. However, these definitions expressed with different concepts can be said to complement each other. Science parks, technology parks, incubator, technology development center, technology development area are concepts related to technoparks.

### **Science Parks**

Science parks are the buildings which have a beauty of architecture distributed sparsely in a piece of land next to a great and powerful university consisting of advanced technology user companies and research and development organizations. They have important relationships with the university and in this way gather the univesities which are the source of the scientific and technological progress with the most suitable companies and R&D organizations for this purpose (Hersek, 2007: 4).

According to the United Kingdom Science Park Association (UKSPA), a science park is a business support and technology transfer initiative that (Cited by Bilgili, 2008: 38):

- Encourages and supports the start-up and incubation of innovation-led, high-growth, knowledge-based businesses.

- Provides an environment where larger and international businesses can develop specific and close interactions with a particular centre of knowledge creation for their mutual benefit.
- Has formal and operational links with centres of knowledge creation such as universities, higher education institutes and research organisations.

### **Technology Park**

Technology park; is a kind of park where there is a more emphasis on the development of a new product or technology. These parks are the small and medium-sized businesses offering technical and technological services (office, work space, etc.) for a fee.

There is an important difference between science parks and Technology Park. Science parks are mainly research organizations working in association with strong technical universities with large research facilities. Technology parks are also organizations that cooperate with any university or research institutes, but the technology development and application has greater importance (Eren, 2011: 38).

### **Incubators**

Incubators; are the units where the new technology initiatives are supported appropriate to the social and economic structure of the region using the infrastructure facilities available to the public in the technopark region. Generally in the incubator buildings small scaled companies with the newly established technology with rapid growth potential are given place. Incubators, provide development of the technology of the new entrepreneurs by specific supports under certain circumstances. According to Law No 6170 which on the Amendment to the Law of Technology Development Zone; incubators are defined as the places where office services, equipment support, management support, access to financial resources, critical business and technical support services are provided from a single source under one roof and for entrepreneurial firms to to develop young and new businesses (Eren, 2011: 39).

### **Technology Development Centers**

According to Babacan 'they are the centers that give priority to technology and development. Their physical space is smaller than the science parks and research parks.' They aim to promote the establishment of technology-based firms, get benefits from the university's scientific potential benefit and infrastructure for industry and aim to improve the structure of the economy (Cited by Hersek, 2007: 7).

### **Technology Development Zones**

'Technology Development Zones Law No. 4691 enacted in 26.0.1.2001 in our country defines technology development zones as follows:' 'Sites integrating academic, economic, and social structures at or near the campus of certain universities; advanced technology institute, an R&D center or institute or a Technopark involved in these same areas of work. They are sites where companies using advanced technology or companies with a new technological orientation, produce and develop technology or software through the facilities provided by the organizations mentioned above. They are involved in activities which transform a technological innovation into a commercial product, method or service and by this means contribute to the development of the region (Technology Development Zones Law, 2001).

### **Technoparks Performing in Turkey**

Technopark movement in Turkey, as a thought emerged for the first time in 1986 and later, began to take part in the development plans and started to be a topic of discussions in the environments where people speak about the transferring scientific and technological consequences to practice or where university-industry cooperation is discussed. The first step in the framework of the technopark was taken in Turkey in 1991, with the initiative of Kosgebe two Technology Development Centers a kind of Innovation Center were opened in METU and ITU (Bilgili, 2008: 63). 4691 all matters relating to the Technopark have gained legal qualifications with "Technology Development Zones Law No.4691" enacted on June 26, 2001

After Law No. 4691 since 2001, 38 Technology Development Zones have been established in Turkey (Ankara 6, Istanbul 5, Kocaeli 3, Izmir, Konya, Antalya, Izmir, Istanbul, Adana, Erzurum, Mersin, Izmir, Gaziantep, Eskişehir, Bursa, Istanbul, Edirne, Istanbul, Istanbul, Diyarbakir, Tokat, Sakarya, Bolu, Kütahya, Samsun, Malatya and Urfa). 26 Technology Development Zones have been operating, and investment activities are carried out for the rest (Görkemli, 2011: 64). Table 2 and Table 3 display the technoparks both active and planned ("Virtual", Date of Access: 01.09.2014).

Tablo 2

*Operating Technology Development Zones*

<b>Region</b>	<b>University</b>	<b>City</b>	<b>Date</b>
ODTÜ Teknokent Technology Development Zone	Ortadoğu Teknik University	ANKARA	2001
TÜBİTAK Marmara Research Center Technopark	TUBİTAK-TTGV	KOCAELİ	2001
Ankara Technology Development Zone	Bilkent University	ANKARA	2002
İzmir Technology Development Zone	İzmir Yüksek Tek.Ens.	İZMİR	2002
GOSB Teknopark Technology Development Zone	Sabancı University	KOCAELİ	2002
Hacettepe University Technology Development Zone	Hacettepe University	ANKARA	2003
İTÜ Arı Teknokent Technology Development Zone	İstanbul Teknik University	İSTANBUL	2003
Eskişehir Technology Development Zone	Anadolu University	ESKİŞEHİR	2003
Selçuk University Technology Development Zone	Selçuk University	KONYA	2003
Kocaeli University Technology Development Zone	Kocaeli University	KOCAELİ	2003
Batı Akdeniz Teknokenti Technology Development Zone	Batı Akdeniz University	ANTALYA	2004
Erciyes University Technology Development Zone	Erciyes University	KAYSERİ	2004
Trabzon Technology Development Zone	Karadeniz Teknik University	TRABZON	2004
Çukurova Technology Development Zone	Çukurova University	ADANA	2004
Mersin Technology Development Zone	Mersin University	MERSİN	2005
Göller Bölgesi Technology Development Zone	SüleymanDemirel University	ISPARTA	2005
Ulutek Technology Development Zone	Uludağ University	BURSA	2005
Gaziantep University Technology Development Center	Gaziantep University	GAZİANTEP	2006

Gazi Teknopark Technology Development Zone	Gazi University	ANKARA	2007
Trakya University Edirne Technology Development Zone	Trakya University	EDİRNE	2008
Fırat Technology Development Zone	Fırat University	ELAZIĞ	2007
Erzurum Ata Teknokent Technology Development Zone	Atatürk University	ERZURUM	2005
Pamukkale University Technology Development Zone	Pamukkale University	DENİZLİ	2007
Yıldız Teknik University Technology Development Zone	Yıldız Teknik University	İSTANBUL	2003
Ankara University Technology Development Zone	Ankara University	ANKARA	2006
İstanbul University Technology Development Zone	İstanbul University	İSTANBUL	2003
Sakarya University Technology Development Zone	Sakarya University	SAKARYA	2008
Boğaziçi University Technology Development Zone	Boğaziçi University	İSTANBUL	2009
Cumhuriyet Technology Development Zone	Cumhuriyet University	SİVAS	2007
Dicle University Technology Development Zone	Dicle University	DIYARBAKIR	2007
Bolu Technology Development Zone	İzzet Baysal University	BOLU	2009
Düzce Teknopark Technology Development Zone	Düzce University	DÜZCE	2010
Malatya Technology Development Zone	İnönü University	MALATYA	2009
Kahramanmaraş Technology Development Zone	Sütçü İmam University	K.MARAŞ	2011
Dokuz Eylül Technology Development Zone	Dokuz Eylül University	İZMİR	2013
Namık Kemal University Technology Development Zone	Namık Kemal University	TEKİRDAĞ	2011
Kütahya Dumlupınar Tasarım Technology Development Zone	Dumlupınar University	KÜTAHYA	2009
Tokat Technology Development Zone	Gaziosmanpaşa University	TOKAT	2008
Istanbul Technology Development Zone	İstanbul Ticaret University	İSTANBUL	2009

Source: <http://sagm.sanayi.gov.tr>. Date of Access: 01.09.2014.

**Tablo 3.**

*Non-operating (Ongoing Infrastructure) Technology Development Zones*

Region	University	City	DATE
ASO Teknopark Technology Development Zone	TOBB University	ANKARA	2008
Samsun Technology Development Zone	On Dokuz Mayıs University	SAMSUN	2009
Harran University Technology Development Zone	Harran University	URFA	2010
Çanakkale Technology Development Zone	18 Mart University	ÇANAKKALE	2011
Muallimköy Technology Development Zone	Gebze Yüksek Teknoloji Enst.	KOCAELİ	2011

Yüzüncü Yıl University Technology Development Zone	Yüzüncü Yıl University	VAN	2012
Çorum Technology Development Zone	Hitit University	ÇORUM	2012
Celal Bayar University Technology Development Zone	Celal Bayar University	MANİSA	2012
İzmir Bilim ve Teknoloji Parkı Technology Development Zone	İzmir Ekonomi University	İZMİR	2012
Niğde Üni. Technology Development Zone	Niğde University	NİĞDE	2012
Mehmet Akif Ersoy University Makü-Baka Technology Development Zone	Mehmet Akif Ersoy University	BURDUR	2013
Bozok Technology Development Zone	Bozok University	YOZGAT	2013
Kırıkkale University Technology Development Zone	Kırıkkale University	KIRIKKALE	2013

Source: <http://sagm.sanayi.gov.tr>. Date of Access: 01.09.2014.

### Conclusions and Recommendations

Today, the idea that innovation activities have a very important place for businesses to sustain their viability and for the communities to develop in economical and social aspects is accepted by everyone. Businesses entered into an intense competition in a developing and changing world. The most important way to go beyond the others in the competition for the businesses is to develop and to produce their own original products. Although there are several ways to develop technological innovations, the importance of research and development work carried out by the businesses is increasing day by day. Technology is considered to be a huge cost item for businesses to buy. Producing technology at home only becomes possible with the R&D activities.

In today's economy that became a global market communities are now producing information and technology rather than capital and labor. Research&Development activities in this direction now refer to strategic value for the countries. R&D activities both in the world and Turkey are now being carried out in the framework of a more regular and specific plans. In the R&D expenditure, the share of countries, display the degree of competitiveness of them in the global technology market.

Today's businesses are now becoming technology producers rather than technology users. That is rapidly becoming businesses. At this point the importance of the Technology Development Zone is increasing every day. More businesses take place in Technoparks. The importance university is undeniable. If universities produce innovation, monitor and evaluate the, they will contribute to the industry and in terms of university-industry cooperation, they will contribute to the local and national economy as well. It should be noted that; that the R & D activities carried out have a great cost, so the businesses may be reluctant to produce new projects. In parallel to this case, there are many encouragement and support opportunities of the country in technology development zones for businesses to perform R&D activities. Investing in manpower that is to carry out R & D activities is as important as the investment in R&D. The staff who will be employed in this field, should be well educated, should be subjected to training about the Project.

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**An Investigation of the Relationship Between Working Capital Management and Firm Value Indicators With Financial Analysis In Manufacturing Sector Quoted on Borsa Istanbul**

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**Abstract**

Nowadays, commercial competition requires firms to use their assets efficiently and also to minimize the cost of the liabilities which provide those assets. Inventories, an element of current assets are critically important especially for merchandising companies. These inventories should be supplied and stored with minimum cost and they should be completed their working capital cycle with maximum return as soon as possible to affect company profit affirmatively. This positive change in the company profit stands out as an important criterion to reach the main goal of financial management which are maximizing firm value linked with maximizing wealthiness of shareholders. This research aims to put forth the connection between working capital elements especially inventories and the goal of maximizing company market value. In this manner, the study may present a different viewpoint from the aspect of working capital management for financial managers to maximize the firm profit and market value. Financial ratios of manufacturing companies listed on the BIST stock exchange between the years of 2008 and 2014 were used in this study. The research tries to explain the linkage between financial ratios and firm value with regression analysis method. Research findings show that asset turnover rate have a positive and significant effect to the firm value. On the other hand, it is understood with study results that positive changes in the working capital elements do not affect directly to maximize the market value of the companies.

*Keywords:* inventory turnover rate, financial analysis, profitability, firm value, BIST  
manufacturing sector

**An Investigation of the Relationship Between Working Capital Management and Firm Value Indicators With Financial Analysis In Manufacturing Sector Quoted on Borsa Istanbul**

Conventionally, the researchers in corporate finance have focused on the long-term financial decisions making, particularly capital structure, dividends, investments, and company valuation decisions. However, short-term assets and liabilities are important components of total assets and needs to be carefully examined. Management of these shortterm assets and liabilities needs a careful research since the working capital management plays a crucial role for the firm's profitability & risk as well as value (Nazir & Afza, 2009; Smith, 1980).

Efficient management of working capital is a fundamental part of the overall corporate strategy to create the shareholders' value. Firms try to keep an optimal level of working capital that maximizes their value (Howorth & Westhead, 2003; Deloof, 2003; Afza& Nazir, 2007).

In general, from the perspective of Chief Financial Officer (CFO), working capital management is a simple and straightforward concept of ensuring the ability of the organization to fund the difference between the short-term assets and short-term liabilities which is called net working capital (Harris, 2005). In practice, working capital management has become one of the most important issues in the organizations where many financial executives are struggling to identify the basic working capital drivers and an appropriate level of working capital (Lamberson, 1995). Consequently, companies can minimize risk and improve the overall performance by understanding the role and drivers of working capital management (Nazir & Afza, 2009).

The main objective of working capital management is to maintain an optimal balance between each of the working capital components. Business success heavily depends on the financial executives' ability to effectively manage receivables, inventory, and payables (Filbeck & Krueger, 2005). Firms can reduce their financing costs and/or increase the funds

available for expansion projects by minimizing the amount of investment tied up in current assets. Most of the financial managers' time and efforts are allocated towards bringing non-optimal levels of current assets and liabilities back to optimal levels (Lamberson, 1995). An optimal level of working capital would be the one in which a balance is achieved between risk and efficiency. It requires continuous monitoring to maintain proper level in various components of working capital, i.e., cash receivables, inventory and payables, etc (Nazir & Afza, 2009).

Inventories which are part of working capital, is one of the lowest items in terms of liquidity. They are located in current assets of the company, consist of liquid asset items which quickly turn into money within the one year normal operating cycle or item being prescribed. Stocks are also indispensable elements to fulfill the main activities of enterprises to maintain their presence. Therefore, no matter what kind of activity business have, commercial or manufacturing, inventories are between the most important assets when observed financial statements of all businesses (Banar & Ekergil, 2013).

The principal activity of the trading company is to sell the trade goods with a particular profit to the other companies or final customer. At this point, critical decision for the company in question is to determine the sales price so as to achieve the desired profitability. The sales price determination in a proper way would be only possible if the cost of goods sold accurately measures. It is therefore of great importance that determine the elements including cost of goods sold and valuation of goods accurately is quite brutal in today's competitive conditions based on a volatile balance (Banar & Ekergil, 2013).

In general, current assets are considered as one of the important components of total assets of a firm. A firm may be able to reduce the investment in fixed assets by renting or leasing plant and machinery, whereas the same policy cannot be followed for the components of working capital. The high level of current assets may reduce the risk of liquidity associated

with the opportunity cost of funds that may have been invested in long-term assets (Nazir & Afsa, 2009). This study examines the potential relationship of working capital elements and market measures of profitability of Turkish firms using regression analysis data set for the period of 2008-2014. The present study is expected to contribute to better understand these policies and their impact on profitability, especially in emerging markets like Turkey.

### **Literature Review**

Lots of studies have examined the financial ratios to present company financial status in comparison with other companies in terms of capability of short term solvency. However, many of them have focused on all current asset elements analyzing liquidity ratios. This study examines firm value indicators in terms of activity rates such as inventory turnover rate and receivable turnover rate. This study also highlights the importance of inventory management for the firm profit values with criteria like quick ratio and activity rates.

Molay and Autukaite carried out a research in 2014 on analysing whether cash holdings and working capital management influence a company's value. Using a sample of French listed companies over the period 2003–2009, panel data regressions were performed, leading to the following main conclusions. First, investors in French companies were concerned by the increase in cash in companies' accounts but value it less than investors in US firms. Second, they value an extra euro invested in net working capital less than one euro and less than in US firms. There is no value added in cash holdings and net working capital when returns are risk-adjusted (Autukaite & Molay, 2014).

A distinct research fulfilled in 2013, Aksoy investigated the effects of working capital management on firm performance. In the study, the data set of 146 manufacturing industries in BIST over the period 2003-2012 was used. The period was divided into two sub-samples which are pre-crisis and post-crisis. In order to determine the relationship between dependent variable (ROA and tobin-q) and independent variable (cash conversion cycle, elements of cash

conversion cycle, current ratio) panel data analysis is performed. According to the results, performance indicators had a negative relationship with account receivable period, a positive relationship with current ratio. Inventory period showed a positive relationship with tobin-q in the pre-crisis period and a negative relationship with tobin-q in the post-crisis period. Accounts payable period had a statically significant negative relationship with only tobinq. Cash conversion cycle showed a negative relationship with ROA, and a positive relationship with tobin-q. Moreover that was defined that the crisis effects the relationship between variables (Aksoy, 2013).

Other study performed by Ukaegbu in 2013 examined examine the relationship between working capital efficiency and corporate profitability and in particular, to determine their significance across countries with differential industrial levels. The paper adopted a quantitative approach using balanced panel data of manufacturing firms in Egypt, Kenya, Nigeria and South Africa. Financial statements of manufacturing firms were accessed from the Orbis database for the period 2005–2009. The database was known to be reliable and has universal acceptability. The study revealed that there is a strong negative relationship between profitability, measured through net operating profit, and cash conversion cycles across different industrialisation typologies. The negative association implied that, when the cash conversion cycle increases, the profitability of the firm declines. Managers can create positive value for shareholders by reducing the days customers settle their accounts, ensuring that they sell off their inventories as quickly as possible and delaying the payments to their suppliers, as long as this does not affect their credit rating. In according to author, the study was the first paper to provide a fresh perspective on how working capital management influences profitability across Africa within different typologies (Ukaegbu, 2014).

Çakır and Küçük Kaplan performed a study in 2012 to investigate the effect of working capital management on firm profitability and value. For this aim data of 122 manufacturing

firms were used traded in ISE for the period of 2000-2009. Liquidity ratios, receivable turnover and inventory turnover as independent variable, active turnover and leverage ratio as control variable, return on asset, return on equity and book value and market value ratios were used as the dependent variable at the study. The relationship was examined using panel data analysis. Also, the estimation results showed that the relationship between firm profitability and current ratio and leverage ratio which were representative of working capital management was negative and quick ratio and inventory turn and asset turnover had a positive effect on profitability. On the other hand no significant relationship was found between elements of working capital with return on equity and market value (Meder Cakir & Kucukkaplan, 2012).

In another study made in 2012, Caballero, Teruel and Solano highlighted the linkage between working capital management and corporate performance for a sample of non-financial UK companies. In contrast to previous studies, the findings provide strong support for an inverted U-shaped relation between investment in working capital and firm performance, which implies the existence of an optimal level of investment in working capital that balances costs and benefits and maximizes a firm's value. The results suggest that managers should avoid negative effects on firm performance because of lost sales and lost discounts for early payments or additional financing expenses. The paper also analyzes whether the optimal working capital level is sensitive to alternative measures of financial constraints. The findings show that this optimum is lower for firms more likely to be financially constrained (Baños-Caballero, García-Teruel, & Martínez-Solano, 2013).

Işık and Kiracı made another study in 2012 to determine effects of the 2008 global financial crisis, which occur in the USA and show effects in all countries, on working capital of production companies operating in the ISE industrial index through financial ratios. As a research method, statistical tests that allow the comparison of pre-crisis and postcrisis of financial ratios related working capital were used. As a result of the research, production

companies in ISE, in the comparison of pre-and post-crisis of three year periods, detected that liquidity ratios indicating the adequacy of working capital remain unchanged, whereas the working capital that used to measure efficiency and reduced operating rates decrease and as a result of this, gross profit rates decrease. In the comparison between 2007 and 2008, determined that liquidity and operating rates declined in 2008 compared to 2007 and gross profit rates decrease. Also, the number of companies that have negative working capital has increased in both comparisons (Isik & Kiraci, 2012).

In a study made in 2011, Coşkun and Kök investigated the effect of firm's working capital policies on their profitability. Panel data were used obtained from 74 manufacturing firms which were listed in ISE during 1991-2005. As a measure of working capital policies, cash conversion cycle, inventory period, accounts receivable period and accounts payable period are used. In addition, return on assets is used as a measure of profitability. Dynamic panel data analysis method, the system-GMM estimation technique is applied study. This study also concluded that the firms can increase their profitability by applying aggressive investment policy to reduce account receivable period and inventory period. In other words, cash conversion cycle, accounts receivable period and inventory period show a negative relationship with profitability. In addition, a positive relationship between profitability and accounts payable period has been determined (Coskun & Kok, 2011).

Another research made by Büyüksalvarcı in 2011 dealt whether there was any relationship between stock returns and the ratios used in financial analysis for 2001 and 2008 economic crisis periods experienced in Turkey and whether the effects of these ratios differ from on stock returns for crisis periods mentioned above in case of any relation. For this purpose, an empirical study was prepared on manufacturing industry companies effecting transactions in ISE. Findings included 17 financial ratios in analysis and these ratios were divided into 5 groups. So 6 items for 2001 economic crisis period and 4 items for 2008

economic crisis period make clear that they had statistically meaningful relationship with stock returns. But for “Return on Equity” of profitability ratios and “Market Capitalization/Book Value” of stock exchange performance ratios, financial ratios associated with stock returns differ in periods. Also results suggested that explaining of financial ratios changes in stock returns for 2008 economic crisis period were more effective than items for 2001 economic crisis period (Buyuksalvarci, 2011).

Akbulut accomplished another study in 2011 to investigate the relationship between working capital management and firm profitability of corporations in manufacture sector which are listed in İstanbul Stock Exchange for the period of 2000-2008. Working capital management is important part in firm financial management decision. The ability of the firm to continuously operate in longer period depends on how they deal with investment in working capital management. The optimal of working capital management could be achieved by firms that manage the trade off between profitability and liquidity. It has been seen that if a company has got over working capital, company profitability decreases or if a company has got less working capital, because of a greater risk, company can't pay its debts. In order to analyze the effects of working capital management on the firm's profitability, (net profit)/total asset (ROA) as measure of profitability was used as the dependent variable. With regards to the independent variables, working capital management was measured by cash conversion cycle (CCC). Regression analysis provided a negative relationship between working capital management and firm profitability. Apart from these, ANOVA analysis indicated that there was statistically a significant difference between the CCC and subsectors of the manufacturing sector (Akbulut, 2011).

Kiracı carried out a target study in 2009 to investigate inventory management importance on company profitability. The effectiveness in management of assets provides an important competitive advantage for firms. If acquired and held with minimum cost, inventory is a critical

asset that contributes to profitability. The research aims at explaining the relationship between inventory management and profitability, a measure of financial success. The study uses financial ratios about manufacturing firms listed on Istanbul Stock Exchange between 2002 and 2006. The research explores the relationship between financial ratios regarding profitability and inventory management by using correlation and regression analyses. According to the findings, while inventory turnover ratios are positively related with return on assets and net profit margin, it is negatively related with gross profit margin. Moreover, profitability ratios are negatively related with the inventory to total assets ratio and inventory to current assets ratio (Kiraci, 2009).

### **Research Methodology**

#### *Variables and Study Data*

This study analyzes earnings per share (EPS) and market value/book value (MVI) as firm value indicators with activity and liquidity ratios in Istanbul Stock Exchange. It is planned to use EPS and MVI as dependent variables while other five ratios as independent variables which are asset turnover rate (ATR), receivable turnover rate (RTR), inventory turnover rate (ITR), current ratio (CR) and quick ratio (QR). The data which include about 525 observations belongs to 75 industrial firms in four different sectors between the years of 2008 and 2014. The firms are included in textile, chemistry, automotive and basic metal industry sectors which are Turkey's leading exporting sectors for the recent years steadily. In this way, this research may contribute to Turkey's export policy with a different perspective.

When analyzing textile sector data in terms of short term solvency, current and quick ratio values differs much from company to company, some of them are in risk to pay short term debts while others have redundant current assets which is a signal for asset management deficiency. Automotive firms have more stable liquidity ratios in comparison with textile firms. Immediately after the 2008 financial crisis, automotive firms' liquidity ratios arised. However,

in the following years, ratios have been closer to standart average values. This case may occur due to lack of short term funds after the year of 2008. Chemistry and basic metal industry companies show similar characteristics in terms of liquidity ratios trend like automotive industry.

*Statistical Analysis*

Considering current and quick ratios as independent variables and earnings per share as dependent variable with regression analysis, there is no statistically significant relationship between the quick ratios and earnings per share. When we analyze R square and adjusted R square values, liquidity ratios describe only five in a thousand and one in a thousand change in earning per share respectively. This result concludes that liquidity ratios are not enough to explain the change in obtained stock return by investors. In 95% confidence interval, ANOVA results confirm this case with 0.23 significance value which should be under 0.05.

**Table 1.** *Regression relationship results between liquidity ratios and EPS*

<i>Regression Statistics</i>					
Multiple R	0.075245651				
R Square	0.005661908				
Adjusted R Square	0.001852184				
Standart Error	2.470307251				
Observation	525				
ANOVA					
	<i>df</i>	<i>SS</i>	<i>MS</i>	<i>F</i>	<i>SignificanceF</i>
Regression	2	18.13849216	9.069246082	1.486173	0.227192565
Residual	522	3185.462151	6.102417913		
Total	524	3203.600643			

Considering current and quick ratios as independent variables and MVI as dependent variable with regression analysis, any statistically significant relationship does not exist between the quick ratios and MVI. When we analyze R square and adjusted R square values, liquidity ratios describe only four in a thousand and one in a thousand change in MVI

respectively. This result means that liquidity ratios are deficient to explain the variation in MVI as firm value indicator. In 95% confidence interval, ANOVA results confirm this case with about 0.28 significance value which should be under the value of 0.05.

**Table 2.** *Regression relationship results between liquidity ratios and MVI*

<i>Regression Statistics</i>					
Multiple R	0.069841484				
RSquare	0.004877833				
Adjusted R Square	0.001065104				
Standart Error	4.997913217				
Observation	525				
ANOVA					
	<i>df</i>	<i>SS</i>	<i>MS</i>	<i>F</i>	<i>Significance F</i>
Regression	2	63.91435974	31.95717987	1.279354866	0.279087608
Residual	522	13039.10927	24.97913653		
Total	524	13103.02363			

When we take into account asset turnover rate as independent variable and EPS as dependent variable with regression analysis, considerable statistically significant relationship exists between ATR and EPS. When we analyze R square and adjusted R square values, ATR describes only three per cent change in EPS. This result means that ATR is more significant to explain change in EPS compared to liquidity ratios. In 95% confidence interval, ANOVA results strengthens the relationship between ATR and EPS with about 0.0003 significance value which is far below the value of 0.05.

**Table 3.** *Regression relationship results between ATR and EPS*

<i>Regression Statistics</i>	
Multiple R	0.181349495
R Square	0.032887639
AdjustedR Square	0.031038476
Standart Error	2.433922854
Observation	525
ANOVA	

	<i>df</i>	<i>SS</i>	<i>MS</i>	<i>F</i>	<i>SignificanceF</i>
Regression	1	105.3588621	105.3588621	17.78514679	0.000291453
Residual	523	3098.241781	5.92398046		
Total	524	3203.600643			

Considering ATR as independent variable and MVI as dependent variable with regression analysis, any statistically considerable relationship does not exist between the ATR and MVI. Analyzing R square and adjusted R square values, ATR describes only three in a thousand and one in a thousand change in MVI respectively. This result means that ATR is insufficient to clarify the variation in MVI as firm value indicator. In 95% confidence interval, ANOVA results certify this matter with about 0.16 significance value which should be under the value of 0.05.

**Table 4.** *Regression relationship results between ATR and MVI*

<i>Regression Statistics</i>					
Multiple R	0.06080902				
R Square	0.00369777				
Adjusted R Square	0.001792761				
Standart Error	4.996092564				
Observation	525				
<i>ANOVA</i>					
	<i>df</i>	<i>SS</i>	<i>MS</i>	<i>F</i>	<i>SignificanceF</i>
Regression	1	48.45153341	48.45153341	1.94109403	0.164141637
Residual	523	13054.57209	24.96094091		
Total	524	13103.02363			

When we take into account receivable turnover rate as independent variable and EPS as dependent variable with regression analysis, considerable statistically relationship does not exist between RTR and EPS. Analyzing R square and adjusted R square values, RTR defines only four in a thousand and twenty five in a ten thousand change in EPS. This result means that RTR is insufficient to clarify the variation in EPS compared to ATR. In 95% confidence

interval, ANOVA results verifies the lack of relationship between RTR and EPS with about 0.13 significance value which should be under the value of 0.05.

**Table 5.** *Regression relationship results between RTR and EPS*

<i>Regression Statistics</i>					
Multiple R	0.066653523				
R Square	0.004442692				
Adjusted R Square	0.002539141				
Standart Error	2.469457032				
Observation	525				
ANOVA					
	<i>df</i>	<i>SS</i>	<i>MS</i>	<i>F</i>	<i>SignificanceF</i>
Regression	1	14.23261131	14.23261131	2.333896761	0.127189177
Residual	523	3189.368031	6.098218033		
Total	524	3203.600643			

Considering RTR as independent variable and MVI as dependent variable with regression analysis, any statistically considerable relationship does not exist between the RTR and MVI. When we analyze R square and adjusted R square values, RTR describes only two in a ten thousand change in MVI. This result means that RTR is very insufficient to express the variation in MVI. In 95% confidence interval, ANOVA results approve this lack of relationship with about 0.74 significance value which is overmuch according to the value of 0.05. It can be said that RTR has the worst revealing variable to explain the change in MVI.

**Table 6.** *Regression relationship results between RTR and MVI*

<i>Regression Statistics</i>					
Multiple R	0.014427334				
R Square	0.000208148				
Adjusted R Square	0.0017035				
Standart Error	5.004834424				
Observation	525				
ANOVA					
	<i>df</i>	<i>SS</i>	<i>MS</i>	<i>F</i>	<i>SignificanceF</i>
Regression	1	2.727367716	2.727367716	0.10888405	0.741550349
Residual	523	13100.29626	25.04836761		

Total	524	13103.02363
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Considering ITR as independent variable and EPS as dependent variable with regression analysis, any statistically considerable relationship does not exist between the ITR and EPS. Analyzing R square and adjusted R square values, ITR describes only two in a thousand change in EPS. This result means that ITR is insufficient to clarify the variation in EPS as firm value indicator. In 95% confidence interval, ANOVA results certify this lack of relation with about 0.95 significance value which is too much compared to the value of 0.05.

**Table 7.** *Regression relationship results between ITR and EPS*

<i>Regression Statistics</i>					
Multiple R			0.002392555		
R Square			0.000005724		
Adjusted R Square			0.001906311		
Standart Error			2.474953813		
Observation			525		
<i>ANOVA</i>					
	<i>df</i>	<i>SS</i>	<i>MS</i>	<i>F</i>	<i>SignificanceF</i>
Regression	1	0.01833844	0.01833844	0.002993837	0.956385642
Residual	523	3203.582304	6.125396375		
Total	524	3203.600643			

Considering ITR as independent variable and MVI as dependent variable with regression analysis, any statistically considerable relationship does not exist between the ITR and MVI. When we analyze R square and adjusted R square values, ITR describes only two in a thousand change in MVI. This result means that ITR is inadequate to express the variation in MVI. In 95% confidence interval, ANOVA results approve this shortage of relation with about 0.84 significance value which is immoderate according to the value of 0.05.

**Table 8.** *Regression relationship results between ITR and MVI*

<i>Regression Statistics</i>					
Multiple R		0.008568327			
R Square		7.34162E-05			
Adjusted R Square		0.001838489			
Standart Error		5.005171638			
Observation		525			
<i>ANOVA</i>					
	<i>df</i>	<i>SS</i>	<i>MS</i>	<i>F</i>	<i>SignificanceF</i>
Regression	1	0.961974653	0.961974653	0.03839951	0.844719209
Residual	523	13102.06165	25.05174312		
Total	524	13103.02363			

### Conclusion

The present study examines the impact of liquidity ratios and activity turnover rates on firm value indicators. To this end, study data has about 525 observations belongs to 75 industrial firms which are quoted on Istanbul Stock Exchange of Turkey in four different sectors between the years of 2008 and 2014. The firms are included in textile, chemistry, automotive and basic metal industry sectors that are featured Turkey's leading exporting sectors for the recent years steadily. The relation between the ratios, activity turnover rates and earning per share and market value indicators has been investigated using regression statistical analysis. The study explores that any considerable statistical relation between liquidity ratios and EPS, MVI does not exist. This means that the capability of short term solvency has not a directly effect on firm value. Considering three activity turnover rates which are asset, receivable, and inventory turnover rates only asset turnover rate has a significant statistical impact on the firm value indicators. Conversely, findings demonstrated that other turnover rates have not the ability to clarify the firm value and investors' returns eventually. Especially inventory turnover rate has the worst clarification adequacy and relation strength with the firm value indicators. Considering all the results, it can be concluded that companies who care about the firm value, should carefully examine all current and fixed asset elements instead of examining the asset elements separately.

This research may contribute to Turkey's export policy with a different perspective. Also the study may provide information about the financial performance of exporting companies after the major 2008 financial crisis. This can be a very useful data and experience for Turkey's post crisis years. On the other hand, it is obvious that further work with different statistical methods like correlation and different variables like cash equivalents and securities are required to examine carefully the relationship between the working capital management and phenomenon of enterprise value.

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## **Historical Geography and Regimes of Middle East in Medieval Times**

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### **Abstract**

The Middle East has been a region exposed to everlasting crisis in all periods of history and is still searching for stability since then for its natural resources, strategic properties and differences of people in the region in terms of origin, culture and beliefs. There have always been long lasting and complicated political disputes arising in the region as a result of interferences of powers out of the region which want to use these various factors within the direction of their political and economic interests.

The region now called the Middle East has been an exclusive place which couldn't be shared between the two great empires in the beginning of the period of Christianity, in thousands of years of the written history of the region, not for the first or the last time. Starting from the Roman and the Persian Empires period, development of monotheism emerging along with Christianity, rise of Islamism and correspondingly changing balance of power between Muslim and Christian Worlds have been severely lived in this region.

*Keywords:* Middle East, historical geography, Levant, Eastern Mediterranean, Roman, Seljukian

## Historical Geography and Regimes of Middle East in Medieval Times

The region now called the Middle East has been an exclusive place which couldn't be shared between the two great empires in the beginning of the period of Christianity, in thousands of years of the written history of the region, not for the first or the last time.

The Middle East where the three main religions and many civilizations were born has been the starting point of major knowledge and ideas in commercial, military, technical-political, economic and cultural fields for centuries.

Starting from the Roman and the Persian Empires period, development of monotheism emerging along with Christianity, rise of Islamism and correspondingly changing balance of power between Muslim and Christian Worlds have been severely lived in this region.

All of the Western half of the region including countries on the Eastern Mediterranean coast running from the Bosphorus to the Nile delta was a part of the Roman Empire. The previous civilizations of this region have been collapsed and the older cities have fallen under the rule of the Roman Governors or local princes.

The significant part of the history of humanity is built on the land extending over the Euphrates River on the north corner of Syrian Desert and the Eastern Mediterranean to the Nile Valley by drawing a gigantic arc. This arc shaped region is named the "Fertile Crescent" for the rivers and winter rains have fed the arable, fertile soil and settled public<sup>1</sup>. The passage just in the middle of this arc connects Egypt to Anatolia (to Turkey). The Fertile Crescent bordered on the West by the Mediterranean and on the East by Syrian Desert is approximately 804 kilometers long and 120 kilometers wide. The region including Lebanon, Israel, Syria and West of Jordan today is later named Levant<sup>2</sup>. The great powers of the ancient world have combatted

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<sup>1</sup>Ekrem Memiş, Eskiçağ'da Mezopotamya (En Eski Çağlardan Asur İmparatorluğu'nun Yıkılışına Kadar), Ekim Yayınları, Bursa 2012, s.10-11.

<sup>2</sup> Şerafettin Turan, "Levant", DİA, C.27, İstanbul 2003, Ss.145-147.

to conquer the Fertile Crescent. The oldest settlements of the World as Jericho<sup>3</sup> and Byblos<sup>4</sup> (Jbail) are located here. Judaism and Christianity were born there. The name of Jerusalem, the most famous city of the region, cause tremendous excitement in different communities.

This passage extending between Egypt and today's Turkey along the Eastern Mediterranean has witnessed merging of communities and cultures most remarkably and productively. Communities have moved here from different places. Mesopotamian Sumerians who are not Sami and extremely civilized have ruled Syria approximately for one thousand years as from B.C. 3500<sup>5</sup>. Although Sumerians were defeated by Amorites<sup>6</sup>, a Central Arabia origin Sami people, they have taught their conquerors writing and cultivation<sup>7</sup>. In the middle of the 3rd millennium BC, Egyptians conquering the coastal plains of Syria have followed the Babylonians<sup>8</sup>.

The inhabitants of Syria and Palestine were named as Canaanites approximately as of 1600 BC. Canaanites, not constituted of a single race, were a blend of people, some coming from the seas while others from the deserts. Canaanites have never established a strong empire and obeyed the succession of invasion waves<sup>9</sup>.

Approximately, in the years of 1400 BC., another community has started to settle on the coast of Levant. This community was the Phoenicians which have established colonies of commerce on the major part of the Mediterranean coasts, even on the Atlantic coasts of Europe and Africa and who were talented seamen<sup>10</sup>. Almost a century after the Phoenicians, Hebrews escaping from Egypt have invaded Canaan country from the east and conquered Jericho and

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<sup>3</sup>Atlaslı Büyük Uygurlik Ansiklopedisi: Mezopotamya ve Eski Yakındođu, İletişim Yayınları, İstanbul 1996, s.32.

<sup>4</sup>Güneş Girgin, Fenikeliler'de Akdeniz Ticareti, Konya 2006, s.25-26, (Yayınlanmamış Yüksek Lisans Tezi).

<sup>5</sup>Benno Landsberger, "Sümerler", Ankara Üniversitesi Dil ve Tarih-Coğrafya Fakültesi Dergisi, C.2, Sa.5, Ankara 1942, Ss.89-102, s.89.

<sup>6</sup> Ekrem Memiş, Eskiçağ Medeniyetleri Tarihi, Ekin Kitabevi, Bursa 2006, s.26-27.) – Ahmet Susa, Tarihte Araplar ve Yahudiler: İki İbrahim, İki Musa, İki Tevrat, Selenge Yayınları, İstanbul 2005, s.98-100.

<sup>7</sup>Cemil Bülbül, "Amurru Göçleri ve Amurru'nun Eski Önasya Tarihindeki Rollerini", Ankara Üniversitesi Dil ve Tarih-Coğrafya Fakültesi Tarih Bölümü Tarih Araştırmaları Dergisi, C.29, Sa.48, Ankara 2010, Ss.29-49, s.39.

<sup>8</sup>Celal Tevfik Karasapan, Filistin ve Şark-Ül-Ürdün, C.I, İstanbul 1942, s.13-17.

<sup>9</sup>Ahmet Susa, Tarihte Araplar ve Yahudiler, s.40-50.

<sup>10</sup>Girgin, Fenikeliler'de Akdeniz Ticareti, s.4.

slowly overpowered the Canaanite people living on the hills<sup>11</sup>. However, Hebrews also had to fight against Palestinians with the invasion waves coming from across the Mediterranean coast. The Palestinians have settled on this coastal plain and named there as Palestine (Arabic Falastin). The war between Palestinians and Hebrew tribes have continued wax and wane until the King David who have merged the Hebrew tribes<sup>12</sup>.

Approximately in 720 BC, Assyrians, a new great state coming from Northern Iraq has invaded these two small Jewish states and caused them to disappear<sup>13</sup>. The Jews occupying Syria and Palestine were different from other communities which have occupied and settled in two points. The first is that the Jews have never had marriages with other people in the region and have not blended with them. Structure of Syria/ Palestine invasions has started to change as of the end of the IX. Century BC.

Invasions from then were the actions of great powers intending to conquer a region and impose their governance on the people living there rather than immigrant people searching for a better place to settle.

As it was the middle of the IV. Century BC, the Persian Gulf was included in the borders of the empire established by Alexander the Great. One of the primary goals of Alexander the Great was creating a major marine traffic between Babylon, the capital city of the Eastern Empire, and India<sup>14</sup>. Alexander the Great's dream of the great united Hellenic Empire has not come true completely for his conquests have caused fights for sharing among his generals after his untimely death<sup>15</sup>. However, Hellenic Civilization has maintained dominance on successive

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<sup>11</sup> Ahmet Usta, "Ali Reşad'ın Tarih-i Kadiminde İbraniler", Ondokuz Mayıs Üniversitesi İlahiyat Fakültesi Dergisi, Sa.14-15, Samsun 2003, Ss.135-157, s.139. – Hasan Bahar, Eskiçağ Tarihi ve Uygarlıkları, Konya 2004,s.145.

<sup>12</sup>Usta, "Ali Reşad'ın Tarih-i Kadiminde İbraniler", s.140-143.

<sup>13</sup>Şeyma Ay, "İsrail ve Yahudi Krallıkları Üzerine Düzenlenen Asur Seferleri", History Studies, Samsun, Mart 2011, Ss.1-14, s.8.

<sup>14</sup>Oğuz Tekin, Eski Yunan ve Roma Tarihine Giriş, İletişim Yayınları, İstanbul 2010, s.137.

<sup>15</sup>Tekin, Eski Yunan ve Roma Tarihine Giriş, s.137.

empires extending from Iran to Egypt and the cities established by Alexander the Great have continued their developments.

Almost a century after the death of Alexander the Great, Rome has started to become stronger. After Carthage's final overwhelm in 211 BC, Rome has acquired supremacy in the Western Mediterranean<sup>16</sup>. Then, it had its eyes on east and after invading Greece, a riot and war period lasting for 150 years have started in the Eastern Mediterranean region. The competitor Ptolemy and Seleucid dynasties have fought with each other and entered in a long term collapse period<sup>17</sup>. Consequently, local powers in Syria have taken the opportunity to impose their rulerships.

The Emperor Augustus has included the whole Middle East region, from Egypt to Anatolia, to the Roman Empire in his regnal years between 29 BC – 14 AD<sup>18</sup>. Only Iran and today's Iraq was left under the rule of the Parthians.

The Eastern Mediterranean region (Anatolia, Syria and Egypt) have settled down along with the Roman sovereignty<sup>19</sup> lasting for a few centuries. Roads and tax system are considerably improved<sup>20</sup>. Egypt has become the major food supplier of the capital city of the empire and the military base of the Roman Armies. The Romans have cleaned up the Red Sea from pirates and reinvigorated the trade with India over the Red Sea<sup>21</sup>.

Egypt, where the population is intensely settled around the Nile Valley was the most appropriate place for an authoritarian central government. The Roman government in Syria was more flexible. The Romans have allowed the local governors in the east to keep their

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<sup>16</sup>Tekin, Eski Yunan ve Roma Tarihine Giriş, s.201.

<sup>17</sup>Tekin, Eski Yunan ve Roma Tarihine Giriş, s.202-204.

<sup>18</sup>Tekin, Eski Yunan ve Roma Tarihine Giriş, s.218.

<sup>19</sup>R. H. Barrow, Romalılar, Çev., Ender Gürol, Varlık Yayınevi, İstanbul 1965, s.49.

<sup>20</sup>Hasan Bahar, Roma ve Bizans Tarihi: Krallık, Cumhuriyet, İmparatorluk ve Doğu Roma (Bizans), Kömen Yayınları, Konya 2010, s.121.

<sup>21</sup>Eutropius, Roma Tarihinin Özeti, Çev., Çiğdem Menzikoğlu, Kabalcı Yayınları, İstanbul 2007, s.177. - Peter Mansfield, Ortadoğu Tarihi, Çev., Ümit Hüsrev Yolsal, Say Yayınları, İstanbul 2012, s.26.

autonomies against their loyalty to Romans<sup>22</sup>. The Romans' regime after eighteen centuries was an indirect rule as the Britons have implemented on their colonies in Asia and Africa<sup>23</sup>.

Although races have easily mixed in cities, the gap between the cities and villagers in rural, and tribes have kept its existence specifically over the languages used. In Syria, villagers were using Aramaic language while nomads on the border of Arabia and semi-nomads were using Arabic. Majority of the population in Egypt were using ancient Egypt language. However, the most severe culture conflicts and after all, maybe the most productive were seen in Palestine<sup>24</sup>.

Despite being exposed to great pressure in the empire, Christianity has been able to attract a serious number of followers within three centuries. Collapse of the Roman Empire has supported rise of Christianity<sup>25</sup>. In 224 AD, Sasanians coming from the west of Iran has taken the place of the Parthian Empire in the East<sup>26</sup>.

In 330 AD, Constantine has founded the city after his name on the coast of Bosphorus where Europe and Asia meets<sup>27</sup>. Constantinople (Istanbul) was rather the capital city of the eastern part of the United Roman Empire. Fifty years later, the empire is shared among two sons upon the death of the Emperor Theodosius. While the west part of the Empire was collapsing under the weight of the barbarian invasions, Byzantine has continued to govern the Balkans, Asia Minor, Syria, Palestine and Egypt<sup>28</sup>.

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<sup>22</sup>Mansfield, Ortadoğu Tarihi, s.27.

<sup>23</sup>Bahar, Roma ve Bizans Tarihi, s.43.

<sup>24</sup>Mansfield, Ortadoğu Tarihi, s.28.

<sup>25</sup>Bahar, Roma ve Bizans Tarihi, s.123-124.

<sup>26</sup>Gürhan Bahadır, "Anadolu'da Bizans-Sasani Etkileşimi (IV.-VII. Yüzyıllar)", Turkish Studies, Vol.6/1, Erzincan 2011, Ss.707-726, s.708.

<sup>27</sup>Arthur Goldschmidt Jr. – Lawrence Davidson, Kısa Ortadoğu Tarihi, Çev., Aydemir Güler, Doruk Yayınları, İstanbul 2008, s.38.

<sup>28</sup>Goldschmidt – Lawrence, Kısa Ortadoğu Tarihi, s.38-39.

The Eastern Roman Empire had been able to maintain its supervision on the Middle East for three centuries. In the meantime, the biggest threat for the Empire was neither European Goths nor Germans, but the aggressive Sasanians (the Persians)<sup>29</sup>.

This narrative gives definite information about how Middle East communities were governed:

In the II. Century, three rabbis have made the below conversation among themselves; “Rabbi Judah has started his words as; how beautiful the works of these people (The Romans’) are. They’ve built such nice bazaars, bridges and baths. Rabbi Jose has kept silent. Rabbi Simeon has responded; whatever they’ve done are for their own needs. They’ve built the bazaar places for the prostitutes, the baths to pretty themselves up and the bridges to collect tax. After this conversation, Judah has told this conversation to the officials. And the Roman officials of the period have taken the following decision. Let’s have Judah, praising us, to be awarded, Jose, keeping silent, to be exiled and Simeon, dispraising us, to be executed”.

Sasanians have attacked for many times and occupied Syria in the years between 534 and 628 and had to retreat later<sup>30</sup>. In 616, Sasanians have conquered both Egypt and Asia Minor and enveloped Constantinople<sup>31</sup>.

In the meantime, in 571, an extraordinary man who would affect Byzantine and Iran and provide revealing of a new and greater power was born in the poor Arabia which was in disturbance<sup>32</sup>. The Prophet Muhammad who was born in Mecca, one of the biggest trading towns of the Western Arabia was a prodigy who has helped to change the history of humanity. This is not a fact accepted only by the people who have embraced the religion he has brought but also accepted by the majority of the world population.

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<sup>29</sup>Goldschmidt – Lawrence, *Kısa Ortadoğu Tarihi*, s.44.

<sup>30</sup>Goldschmidt – Lawrence, *Kısa Ortadoğu Tarihi*, s.44.

<sup>31</sup>Bahadır, “Anadolu’da Bizans-Sasani Etkileşimi (IV.-VII. Yüzyıllar)”, s.717-718.

<sup>32</sup>Mustafa Fayda, “Muhammed”, *DİA*, C.30, İstanbul 2005, Ss.408-423, s.409.

Different from Jesus, the Prophet Muhammad was a political leader and a genius organizer. When the Prophet Muhammad has passed away in his sixties, the new belief was adopted in major part of Arabia. The Prophet Muhammad has succeeded to gather dispersed settlement and idolater tribes of the peninsula in one generation in one nation believing in one god having the power for everything. Success obtained in Islam belief during the period the Prophet has lived and later in the short management periods of the fair and honest managers was phenomenal. Small Muslim armies have challenged the great Byzantine and the Persian Empires. Within a decade, they've vanquished Sasanians, occupied cities on Tigris River and driven them out of Mesopotamia<sup>33</sup>. Later, they've set their eyes on Syria and Egypt states of Byzantine. The Arabian Army has moved like a wind in North Africa and passed to Spain in less than fifty years, in 711<sup>34</sup>.

Ali and his son Hussein being vanquished by Umayyad has resulted in the greatest splitting in Islamism. The majority was constituted of Sunnis or in other words the Followers of Sunnah and the Shi or Ali's followers<sup>35</sup>.

Victory of Umayyad has not only split Islam but also made Damascus the new capital city of the Arab/Islam Empire. After a century later, Umayyad being vanquished by East Iran origin Abbasids has started one of the summits of civilization of humanity, the Islamic Golden Age, and shifted the government center to Baghdad<sup>36</sup>.

Arabic already being used in the east of Fertile Crescent and in Arabian Peninsula has immediately taken the place of Aramaic language which was hardly existing in a few villages in northern Damascus of today and in Northern Iraq. Although Coptic language of ancient

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<sup>33</sup> Mehmet Azimli "Hulefâ-i Râşidîn Döneminde Gerçekleşen İlk Fetihlerin Sebepleri Üzerine Bazı Değerlendirmeler", İslam, Sanat, Tarih, Edebiyat ve Müsîkîsi Dergisi, Yıl:3, Sa.6, Konya 2005, Ss.177-193, s.180.

<sup>34</sup>Tayyar Arı, Geçmişten Günümüze Ortadoğu: Siyaset, Savaş ve Diplomasi, Alfa Yayınları, İstanbul 2005, s.50.

<sup>35</sup>Arı, Geçmişten Günümüze Ortadoğu, s.43.

<sup>36</sup>Hakkı Dursun Yıldız, "Abbâsîler", DİA, C.1, İstanbul 1988, Ss.31-48, s.34.

Egyptians has survived until the seventeenth century, it has also vanished similarly as Arab occupation is converted into colonization and assimilation<sup>37</sup>.

Islamizing was not as effective as Arabizing because significant number of Christian and the Jewish communities have adhered to their beliefs and protected their existence as Islam has respected and shown tolerance to them for being “communities with holy books<sup>38</sup>”. However, spread of Islam was more comprehensive than the spread of Arabic. Islam has moved quickly to Samarkand and the border of India and in the following centuries, big populations in the Indian Peninsula, China and Southeast Asia have become Islam. However, effectiveness of Arabic was limited with rituals there. Although Farsi (Persian/Farsi) has adopted Arabic handwriting and predominantly Arabic vocabulary, it has protected the existence of Persians’ language and culture which was invaded by Arabs and accepted Islamic belief. Today, only approximately one fifth of Muslims speak Arabic<sup>39</sup>.

Although Turks were not conquered by Arabs, they have converted to Islam in the tenth century and languages were invaded by religion, science and culture vocabulary of Arabic. Turks have also used Arabic handwriting. In the twelfth century when Farsi has become the literature language of West Asia, Turks have experienced the second language occupation. Turkish authors have adopted Farsi and Arabic grammar structures along with Farsi and Arabic words to comprise an Ottoman Turkish synthesis. Consequently, majority of people living in the Middle East region have spoken and written all three languages, Arabic, Farsi and Turkish. According to modern nationalist terminology, people speaking these languages were Arabs, Persians and Turks.

As in all other empires, seeds of collapsing of the Islam Empire have started to develop in its best period as in appearance. Despite Baghdad based remarkable communication system,

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<sup>37</sup>Mansfield, Ortadoğu Tarihi, s.35-36.

<sup>38</sup>Ehl-i Kitap: Müslümanlar tarafından Allah’ın gönderdiği Tevrat, Zebur ve İncil’e inananlar için kullanılır. Yahudiler ve Hristiyanlar bu zümredendir.

<sup>39</sup>Mansfield, Ortadoğu Tarihi, s.36.

government could not be established in far regions effectively. Power of autonomy is transferred to local commanders proclaiming autonomy in Egypt and east of Iran. As Arabs constituting the vanguards of the Empire have alienated to the newly Arabicized managers and were not registered to the army any more, the caliphate has chosen the way to bring Turkish slave children called Mamelukes from today's Turkistan to train for being the soldiers providing the security of the Empire<sup>40</sup>.

Although these soldiers of fortune have made the army more effective, they've started use their talent to capture the management of the Empire in a short time. The Mamelukes have killed the caliphate in 861, in Baghdad and founded a military dictatorship<sup>41</sup>. A Turk named Ahmad Ibn Tulun has seized power on Egypt's government. He has easily conquered Syria and once again united Syria and Egypt<sup>42</sup>. Syria- Egypt merger has continued its existence, even if there were intervals, until the whole region had entered into the domination of Ottoman Turk Empire in the sixteenth century.

However, Turkish hegemony has ended in a short time. After the inconsistent management of the Turk military dynasties lasting for a century, Egypt was occupied by an Arab power coming from the west in 969 AD. The new power was the Fatimid Dynasty, taking its name from Fatima, daughter of the Prophet Muhammad and caliphate Ali's wife<sup>43</sup>. The Fatimid has appeared as the leader of Shia Ismaili movement who have devoted themselves to subvert Abbasid Caliphate in Syria before immigrating to North Africa<sup>44</sup>. The Fatimid are seen by Baghdad as the enemies abandoned the religion.

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<sup>40</sup>Hakkı Dursun Yıldız, "Abbâsîler", s.35.

<sup>41</sup>Abdullah Mesut Ağır – Mehmet Emin Şen, "Abbâsi Dönemi Türk Komutanlarından Boğa Es-Sağır", Turkish Studies - International Periodical For The Languages, Literature and History of Turkish or Turkic Volume 7/3, Ankara, Summer 2012, Ss. 13-20, s.16.)

<sup>42</sup>Erdoğan Merçil, Müslüman-Türk Devletleri Tarihi, TTK Yayınları, Ankara 2011, s.4-6. - Nadir Özkuyumcu, "Tolunoğulları", DİA, C.41, İstanbul 2012, Ss.233-236, s.233.

<sup>43</sup>Eymen Fuad Seyyid, "Fatimîler", DİA, C.12, İstanbul 1995, Ss.228-237, s.228. - İbrahim Sarıçam, "Afrika'da Kurulan Bağımsız İslam Devletleri", İslam Tarihi El Kitabı, Ed., Eyüp Baş, Grafiker Yayınları, Ankara 2008, Ss.527-550, s.530.

<sup>44</sup>Eymen Fuad Seyyid, "Fatimîler", s.229.

Although Byzantines have invaded Syria/Palestine repeatedly, they couldn't take the region under their government completely. In fact, Byzantine, Abbasid Empires and Fatimid Dynasty were in their period of regression in the first half of the eleventh century when a new power was preparing to take the stage. This new power was Central Asian Oghuz Turks which one of its leaders has occupied Iran and seized Baghdad in 1050 and taken the name Seljukian after bringing down the Abbasid caliph to a nation<sup>45</sup>. Seljukian has conquered Syria and Palestine in 1071 and exiled the Fatimid to Egypt. In the end of the Century, the Great Seljuk Empire has covered the western Mesopotamia, Syria and Palestine<sup>46</sup>. However, Turkmen warriors of Seljuk army had an eye on the rich lands of the Byzantine Empire in the west. Sultan of Seljuk, Alp Arslan has defeated the great Byzantine army in 1071 and captured the Byzantine emperor. By this way, Muslim Turks have settled in Asia Minor<sup>47</sup>.

The great Turk migration starting from the steppe in the end of the X. C shall change the appearance of the Middle East totally in terms of socio-cultural aspects. Turks establishing a new arrangement in the region have succeeded to gather majority of the region we've named the Middle East under an authority after a long time. Sunni Turks have brought a definite victory to Sunnism in the combat with Shi'a. As it was the beginning of the XIV. C., the region had become a Turkish land. By the intense Turk immigrations, Turkish and Islamic Civilization would have a voice in the region.

Byzantine has protected the Western Christianity world from Islamic invasion and spread coming from the east for four centuries. When Byzantine Empire was in danger of vanishing, the emperor Alexios Komnenos (1081-1118) has consulted the Pope Urban II to provide Christians to help Byzantine in the battle with heretical invaders. On November 27,

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<sup>45</sup>Wilhelm Barthold, İlk Müslüman Türkler, Örgün Yayınevi, İstanbul 2008, s.28.

<sup>46</sup>Michel Balivet, Ortaçağ'da Türkler: Haçlılardan Osmanlılara (11.-15. Yüzyıllar), Çev., Ela Güntekin, Alkın Yayınları, İstanbul 2004, s.17.

<sup>47</sup>Barthold, İlk Müslüman Türkler, s.28.

1095, the Pope called Christians to save their Christian brothers in the East and to join the crusade to provide safety of the west pilgrim ways going to the Holy Land<sup>48</sup>.

Small Christian states which were very back in culture and civilization (for instance, Muslims were surprised against the Crusaders' primitive medical knowledge) were not considered as a serious threat for the Islamic World. However, small crusader states were not contented with subsisting by tolerance. Crusader states had started to cause trouble for their neighbors and in time caused the split Muslim countries to join for jihad or in other words for holy war. Saladin Ayyubi has taken Jerusalem back in 1187 (and quite the contrary what the Crusaders have made eighty eight years ago, spared lives of those who have surrendered)<sup>49</sup>. In the following century, although other Crusades were organized for the survival of the downsizing Christian states on the coast of Syria and Palestine for a little more time, these states have vanished in two centuries.

Destructive effect of the Crusaders on Islam center is asserted logically to be a reason for Islam to become introverted.

As the Crusaders were finally overwhelmed and expelled, Islam has dominated the whole Middle East region<sup>50</sup>. In the end of the thirteenth century, the Mamelukes which have extended its empire to Syria have taken the place of Ayyubid dynasty, the glorious but short lived dynasty founded by Saladin Ayyubi in Egypt<sup>51</sup>. Despite Byzantine which was in regression period, Seljukian has expanded its zone of influence in Anatolia. During the Fourth Crusade in the beginning of the thirteenth century, Latin's attack to Constantinople has brought

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<sup>48</sup>Anonim, Haçlı Tarihi, Yay. Haz., Ergin Ayan, Selenge Yayınları, İstanbul 2013, s.49-50. Güray Kırpık, Doğunun ve Batının Gözünden Haçlılar, Selenge Yayınları, İstanbul 2009, s.53-56.

<sup>49</sup>Amin Maalouf, Arapların Gözünden Haçlı Seferleri, Çev., Ali Berktaş, Yapı kredi Yayınları, İstanbul 2010, s.184-185.

<sup>50</sup>İlhan Erdem, "XII. Asrın İlk Yarısında Anadolu'nun Doğusunda Yaşanan Hâkimiyet Mücadeleleri", Ankara Üniversitesi, Dil ve Tarih-Coğrafya Fakültesi Tarih Bölümü Tarih Araştırmaları Dergisi, C.19, Sa.30, Ankara 1997, Ss.57-68, s.60.

<sup>51</sup>İsmail Yiğit, Memlükler (648-823 / 1250-1517), Kayıhan Yayınları, İstanbul 2008, s.19.

European Christians and the Greek Christians against each other and speeded up collapse of Byzantine<sup>52</sup>.

In the beginning of the thirteenth century, Muslim World had to endure a new and terrible threat. Mongols, as the previous nomad Turk tribes, have moved from Central Asia and raided to the rich lands of the Fertile Crescent<sup>53</sup>. Genghis Khan has conquered Iran in 1220<sup>54</sup>. His successor has vanquished the whole Seljuq army in 1243 and attempted to occupy the Sultanate of Rum<sup>55</sup>. Genghis Khan's son in law Hulagu has occupied Baghdad and annihilated the last relic of the Abbasid caliphate his army was destroying the spectacular irrigation canals of Mesopotamia<sup>56</sup>.

It seemed nothing could avoid Mongols to move in to Syria and Egypt. But the Egyptian Mamelukes gathered to swamp Mongols in Palestine, Ain Jalut in 1260. Mameluke - Mongol war was one of the wars determining the state of the history of the world for it has prevented occupying the lands where the Muslim World's heart is beating<sup>57</sup>. Although Mongol threat was greater than the Christian Crusaders' threat, it was much shorter. The Eastern and Western Christians have expected the Mongols to adopt Christianity. On the contrary, Mongol Khan has announced he has become a Muslim in 1295<sup>58</sup>. The struggle attempted for the Middle East has continued in the Islamic World.

Mameluke sovereignty which has lasted for three centuries in Egypt and Syria has exhibited many aspects of an advanced civilization. As Baghdad was left and Muslim Spain

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<sup>52</sup>Yusuf Ayönü, "Dördüncü Haçlı Seferi'nin Batı Anadolu'nun Türkleşme Sürecine Etkisi", *Tarih İncelemeleri Dergisi*, C.XXIV, Sa.1, İzmir Temmuz 2009, Ss.5-20, s.5

<sup>53</sup>Osman Gazi Özgüdenli, "Moğollar", *DİA*, C.30, İstanbul 2005, Ss.225-229, s.225.

<sup>54</sup>İbn Bîbî, *Selçukname*, Neşr., Mükrimin Halil Yinanç, Yay. Haz., Refet Yinanç – Ömer Özkan, *Kitabevi Yayınları*, İstanbul 2000, s.139-140. - Mustafa Kafalı, "Cengiz Han", *DİA*, C.7, İstanbul 1993, Ss.367-369, s.368.

<sup>55</sup>İbn Bîbî, *Selçukname*, s.173-178. - Rene Grousset, *Bozkır İmparatorluğu: Atilla, Cengiz Han, Timur*, Çev., Reşat Uzmen, Ötüken Yayınları, İstanbul 2006, s.298. - Jean-Paul Roux, *Moğol İmparatorluğu Tarihi*, Çev., Aykut Kazancıgil, Kabalıcı Yayınevi, İstanbul 2001, s.300-301.

<sup>56</sup>Wilhelm Barthold, *Tarihte Türk Dünyası*, Örgün Yayınevi, İstanbul 2008, s.22. Grousset, *Bozkır İmparatorluğu*, s.394.

<sup>57</sup>Grousset, *Bozkır İmparatorluğu*, s.403. Roux, *Moğol İmparatorluğu Tarihi*, s.355-357.

<sup>58</sup>Grousset, *Bozkır İmparatorluğu*, s.417.

was defeated, big centers of success of Islam in science, literature and art fields were Cairo, Damascus and Aleppo. Magnificent architectural examples and handcrafts have reached from that period to present. As trade with east was made over Cairo, Damascus and Aleppo, these cities were wealthy and prosperous.

The Mamelukes was not aware that their fate was determined by the events occurring in Asia Minor. In the end of the thirteenth century, Asia Minor was the land of warrior Turkish rulers who have invaded most of the Byzantine Empire cities or in other words, the land of war veterans. Rulers who were paying tribute to Mongol Khans, so to say, have gradually become independent<sup>59</sup>. Among these rulers, Osman was the founder of a dynasty and an empire which has dominated over the majority of the Islamic World for four centuries<sup>60</sup>. The first Ottomans were distinguished among war veteran companions with their knowledge and talents in government.

Some of the Christian communities, even those who have not taken kindly to firm justice of Ottoman government despite the misgovernment of Byzantine Empire in disturbance have become Islam<sup>61</sup>.

The Middle East has been a region exposed to everlasting crisis in all periods of history and is still searching for stability since then for its natural resources, strategic properties and differences of people in the region in terms of origin, culture and beliefs. There have always been long lasting and complicated political disputes arising in the region as a result of interferences of powers out of the region which want to use these various factors within the direction of their political and economic interests.

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<sup>59</sup>Bkz. İsmail Hakkı Uzunçarşılı, *Anadolu Beylikleri ve Akkoyunlu, Karakoyunlu Devletleri*, TTK Yayınları, Ankara 2011.

<sup>60</sup>Bkz. Feridun Emecen, "Osmanlılar", *DİA*, C.33, İstanbul 2007, Ss.487-496.

<sup>61</sup>Halil İnalçık, *Osmanlı İmparatorluğu'nun Ekonomik ve Sosyal Tarihi: 1300-1600*, C.I, Çev., Halil Berktaş, Ed., Halil İnalçık – Donald Quatenert, Eren Yayıncılık, İstanbul 2000, s.51. Bkz. Mehmet Ali Ünal, *Osmanlı Sosyal ve Ekonomik Tarihi*, Paradigma Yayınları, İstanbul 2012, s.58.

International importance of the Middle East is not arising only from having the world's greatest oil and natural gas reserves.

The Middle East, combining three continents, has also been a region having the most important land-marine invasion ways all through history, and recently is in the airway routes.

In this respect, even if oil and natural gas reserves deplete, or the world leads to new energy resources, importance of the Middle East in the world shall significantly continue.

Another factor making the Middle East strategically important is the cultural features created from the depth of history. The most radical religious and cultural formations affecting the humanity have arose in the Middle East. The region has been the cradle of civilizations and monotheistic religions since the first periods of history, and has fulfilled the role of intersection in spreading of civilizations, cultures and religions developed in other regions. As playing the intersection role, not only transfer of goods, but also transfer of religions, civilizations and cultures have been performed in the region. Identifying the region with Islam has made the Middle East the focus of east-west and Islam – Christine meeting. This difference becoming definite with the Crusades have continued until Ottoman has started to collapse.

As we have mentioned in the beginning, the Middle East is one of the oldest civilization regions of the world. However, when Middle East civilization is compared with other ancient civilizations, two different features are seen prominently.

These features are diversity and discontinuity.

For example, sustainability of both Turkish and Chinese history from ancient ages to modern ages is a fact. Although there are some differences once in a while, there are very firm connections between the old and the new. There wasn't unity and continuity in the Ancient Middle East such this. Even in ancient times, Middle East civilizations were wide-ranging. This civilization has started at different locations and developed in different lines. Even if all

these move towards each other as a result, they have preserved significant differences in terms of culture, belief and life style.

So, the history and culture of the Middle East are just as complicated as they experience today and seems to be insolvable.

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**Indonesian Schools: Shaping the Future of Islam and Democracy in a Democratic  
Muslim Country**

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**Abstract**

This paper examines the role of schools in slowly Islamizing Indonesian society and politics. Why is this Islamization happening and what does it portend for the future of democracy in Indonesia? The research is mostly qualitative and done through field experience, interviews, and data collection. It is concluded that radical madrasahs are not the main generators of Islamization, but instead the widespread prevalence of moderate Islamic schools are Islamizing Indonesian society and politics. The government began the “mainstreaming” of Islamic elementary and secondary schools, most of which are private, in 1975. This has continued and grown, making them popular options for education today. The government has more recently been increasing the role of state run Islamic universities by expanding their degree offerings to include many non-Islamic disciplines. The use of Islamic schools to educate Indonesians is due to the lack of development of secular public schools and high informal fees charged for the public schools. By making Islamic schools an attractive option that prepares students for success, society has been Islamized slowly as the number of alumni increases and as these alumni play leadership roles in society, business, and government. This Islamization is not of a radical nature, but it is resulting in more Islamic focused public discourse and governing policy, and low levels of tolerance for other faiths and variant Muslim practices. The recent addition of civic education in Islamic schools, which has been exalted by Westerns, is taught with specific Islamic interpretations that change the meaning of concepts, particularly pluralism. The resulting consequence is that while Islam and democracy’s compatibility are stressed in Islamic civic education, tolerance for pluralism is truncated. Islamic schools are

homogenizing Islam in Indonesia and shaping the public discourse and democracy in ways that are infused with modernist Islamic values.

*Keywords:* Islam, schools, Indonesia, democracy, civic education, politics, pluralism, tolerance, modernist Muslim, madrasah, pesantren, ulama, universities

## **Indonesian Schools: Shaping the Future of Islam and Democracy in a Democratic Muslim Country**

Schools are a product of social and political decisions, but they also create and shape the future generation of leaders and therefore largely shape future social and political decisions. Schools in all countries therefore are of prime importance when studying politics, culture, and society. Frequently, social scientists neglect the study of a country's education system as being the product of and generator of society and politics. However, if one looks at what is happening in a country's schools, the future can be seen. Think how your education influenced you. You are a product of that education. Your worldview and decision making is shaped by what you learned in school.

Indonesia's schools are of particular interest due to Indonesia being the world's most populous Muslim majority country and it is a relatively new democracy having begun the transition in 1998 with violent protests bringing down Suharto, the dictator for over three decades. The first free elections were held in 1999 and changes to the Constitution and election methods have continued to the present with yet another change in late 2014 that ended the direct election of governors and mayors.<sup>62</sup> Many analysts assess the role of Islam in Indonesia's democracy and politics through examining elite negotiations, the historical and cultural existence of Islam in Indonesia, or the ties of Indonesian Muslims to the Middle East. While these are important determinants of Islam's role in Indonesian social and political life, schools, being primary socializing agents, should be a part of the analysis of Islam and politics in Indonesia. In schools, the effects of historical and cultural manifestations of Islam, ties to the Middle East, and elite negotiations can be seen, as well as offering insight into the future direction of Islam and politics. Students in both public and private schools will be shaped by the curriculum that has evolved through compromise, negotiation, political decisions, and

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<sup>62</sup> They are now to be elected through the local legislative assemblies.

ideologies from around the world. These students will in turn be the leaders of tomorrow. Therefore, examining schools can provide a glimpse into both the past and future of a country's politics, discourse, and role of ideologies, including religion.

This article discusses the history and current situation of schools in Indonesia with emphasis on Islamic schools; however, as will be shown, Islamic and public general education (secular) schools are closely inter-twined. The types of schools available from elementary to higher education, their curriculum, and oversight by the state will be detailed, along with an examination of the cost of schools, which helps explain choices parents make when deciding which schools their children will attend. Religious and civic instruction will be highlighted with a view toward explaining why religious and civic education exists in the forms it does in Indonesia and how this instruction may portend the future direction of Indonesia's religious and civic engagement in democratic governance. In sum, it is argued that Indonesia is experiencing a slow Islamization of its society and politics, not through radical Islamic schools, but instead due to the popularity and mainstreaming of moderate Islamic schools and due to the mandated instruction of religion in "secular" schools. Students are able to cross-over between Islamic and secular schools with relative ease and most all students are exposed to rather extensive instruction in religion through whichever school they attend. State run and private Islamic universities present an affordable and attainable option for students seeking degrees in higher education that prepare them for advancement in society in fields such as medicine, law, business, science, and education making Islamic schools an attractive option for many Indonesians.

This mainstreaming of Islamic based education is not based on radical interpretations of Islam or the attempt of a fundamentalist group to take over the state, but has had the effect, and will likely continue to push toward a greater acceptance of society and governance being based on Islamic tenets and values. The precise form taken of this greater inclusion of Islamic

values in the social and political discourse and governing policies issued through Indonesian democracy can be better understood through examining the country's schools. This examination yields the conclusion that while Islam is more prominently evident in Indonesian society and governance now that it is a democracy, it is not in the form of a predetermined prescriptive Islam that rigidly constrains decisions; rather, most students are taught to contextualize Islam and use *ijtihad* (critical thinking to make Islam relevant to time and place). This shaping of Islam and politics is taking place within the context of modernist Islam gaining ascendancy and Islam being slowly homogenized, even if this homogenization is of a contextualized variety. Applying Islam to Indonesian society and governance is continually being negotiated among leaders, groups, governing agencies, and society itself within the context of democratic governance. Schools are sometimes a battleground for this negotiating because they shape the future, but thus far the process of negotiating the role of Islam in society and politics has been mostly peaceful. It is argued in this paper that Islam is slowly becoming more prominent and homogenous in Indonesia largely through the influence of schools and decision makers who are a product of these schools, and that there are problems with tolerance of variants of Islam and non-Islamic faiths, but it is also argued that Islam in Indonesia has shown itself to be generally compatible with democratic governance and is continually evolving as a product of social and political discourse and decisions and in turn is continually shaping that discourse and decision making. A closer exploration of how schools are involved in shaping the evolving role of Islam in society and politics is offered below.

### **Current Context: Why Examine Islam's Role in Society and Politics in Indonesia?**

The bombing of tourist venues in Bali in 2002 in which over 200 people died led to the acknowledgement that some madrasahs in Indonesia may be instilling radical Islamic worldviews in its students that led to the terror attacks. The bombers were found to have been under the guidance of former students of a private madrasah in Solo, Central Java, called Al-

Mukmin, or more commonly called, Ngruki. Ngruki Madrasah has about 2000 students and teaches a fundamentalist interpretation of Islam based on Salafi doctrine. This Madrasah was founded by Abu Bakar Ba'asyir who is also a co-founder of a fundamentalist Islamic organization called Jemaah Islamiyah (JI).<sup>63</sup> Abu Bakar Ba'asyir also founded a political organization, called Mujahidin Council of Indonesia (MMI) that acts as an umbrella association for numerous small radical groups across Indonesia.

Radical Islamic groups have seen many of their leaders arrested as the Indonesian police' counter-terrorism unit, Densus 88, has been successful in arresting militants suspected of participating in or planning terrorist acts.<sup>64</sup> However, the linkage between Abu Bakar Ba'asyir's Madrasah in Solo and the Bali bombings prompted concerns that Indonesia may be headed toward greater Islamic radicalization. There was fear that radical madrasahs were spreading fundamentalist and militant interpretations of Islam, similar to how madrasahs in Pakistan spread such ideologies and contributed to the violence and strength of radical Islamic groups in that country. Fortunately for Indonesia, this does not seem to be the case. Although there is a network of about a hundred madrasahs run by various fundamentalist Islamic groups and individuals, and these schools teach anti-pluralist, anti-western, and anti-democratic viewpoints and advocate Indonesia becoming a fundamentalist Islamic state, these are the exception, not the norm.<sup>65</sup>

Further fueling the fear that Indonesia is headed in a radical Islamic direction is the fact that there remains much, some argue increasing, intolerance for plurality and acts of communal

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<sup>63</sup> JI is a spin off organization of the illegal Darul Islam (DI) that was founded in the 1940s with the goals of separatist rebellions against colonial rule and the creation of an Islamic state. JI was founded in 1993 and also works with Al-Qaeda for training and financing. Many of its leaders are children of DI leaders. It came to consist of a powerful web of personal contacts across Indonesia. Other militant groups associated with Darul Islam that operate inside Indonesia include Laskar Jihad, Madelia Mujahidin Indonesia, Laskar Jundulloh, the Banten group, and Angkatan Mujahidin Islam Nusantara (AMIN).

<sup>64</sup> International Crisis Group (May 3, 2007).

<sup>65</sup> Hefner, Robert (2009).

violence. These acts include the burning of homes, places of worship, and violent protests.<sup>66</sup> In addition, the Ministry of Home Affairs has allowed several local areas to ban the Islamic sect, Ahmadiyah, which is viewed by mainstream Muslims as aberrant and heretical. The Religious Affairs Minister and high ranking generals in the army have called the Ahmadi sect heretics that should be criminalized.<sup>67</sup> The highest council of Islamic scholars/leaders in Indonesia, called Majelis Ulama Indonesia (MUI), issued a fatwah in 2005 stating Ahmadiyah and a network of liberal Muslims called JIL (Liberal Islamic Network) were heretics and therefore dangerous to society. The MUI also issued a fatwah that same year stating liberalism, pluralism, and secularism were Western values and antithetical to traditions of Islamic thought.<sup>68</sup>

The MUI is affiliated with the government and was created by President Suharto in 1971 with the purpose of gaining government oversight of Islamic leaders and to provide religious legitimacy for Suharto's policies. MUI's purpose was to issue fatwahs (judicial opinions) about matters involving Islamic jurisprudence and to oversee halal certification. Since Suharto's fall, however, the MUI has become more conservative has been issuing fatwahs in numerous areas of life that were previously not within their purview, including smoking, using hair dye, and saving the environment. The elected governing officials have thus far done little to oppose illiberal fatwahs from the MUI, such as the one against Ahmadi and liberalism, secularism, and pluralism.

Similarly, groups that are legal and operate within the law, but spread fundamentalist views of Islam's role in society and politics, including Hizb ut-Tahrir Indonesia (HTI) and Front Pembala Islam (FPI – The Islamic Defenders Front), are allowed to operate with a concerning extent of impunity from government prosecution. FPI has come to act as a morals

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<sup>66</sup> Human Rights Watch (March 15, 2011) and (June 16, 2011). International Crisis Group (November 24, 2010).

<sup>67</sup> Freedman, Amy and Robert Tiburzi (2012).

<sup>68</sup> Gillespie, Piers (2007).

police thrashing clubs that serve alcohol and warning women to cover more. The police at times have arrested some members of FPI, including its leader, Habib Rizieq in 2008 and imprisoned him for a year and a half for the FPI attacking and killing protestors with whom they disagreed, but the group is still allowed to operate largely unchallenged and officials seem afraid to oppose it too strongly.

Another example of why some people fear Indonesia is becoming a breeding ground for radical Islamic groups is that while the number of radical madrasahs is low in Indonesia compared to many other Muslim majority countries, fundamentalist organizations have been found recruiting within secular schools, both secondary level and at institutions of higher education. Militant Islamic cells were found in a high school in Klaten, Central Java and the liberal oriented UIN and IAIN (state run Islamic universities).<sup>69</sup> The public flagship university, Universitas Indonesia, has witnessed the presence of large and active fundamentalist, although not necessarily militant, Islamic groups since the early 1990s. Hard-line Islamic groups also use social media to get their message out to the Indonesian public. Indonesia has one of the highest rates of social media use in the world; thus, this is an effective medium to reach people, perhaps more so than through radical madrasahs.

Relatedly, with decentralization and the devolution of political authority to the provinces and districts, more than 50 local districts have implemented aspects of Sharia, particularly notable are Aceh, West Sumatra and West Java. This may appease fundamentalist groups and prevent them from attempting to capture the national government, or it may inspire them and allow their views to grow more accepted and viewed as inevitable. While this is being done within the framework of democratic institutions, there are questions being raised about the intolerance of plurality that is accompanying these changes. This paper argues that even though radical madrasahs are the exception in Indonesia and the police have been

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<sup>69</sup> Freedman, Amy and Robert Tiburzi (2012).

successfully closing jungle training camps and society does not largely accept terrorist acts as legitimate, there is a “slow creep” of Islamization infusing Indonesian society and politics.

A look at election results for parliament in April 2014 are interesting for showing that Islamic parties are not fading, but are gaining votes with 32% of the vote going to parties with a declared Muslim identity. The parties are not radical and must officially accept the democratic framework and secular state within which they operate or they are not allowed to participate in elections. However, these parties use the democratic process to push policies in a more Islamic direction. Their main obstacle is that they are not united among themselves and represent various factions within the Muslim community. Old divisions between traditional, rural based ulama and modernist Muslims prevent this unity.<sup>70</sup> Several leaders, such as those in the MUI, are attempting to remedy this division that prevents the Islamic political parties from currently being a powerful bloc within Parliament. Their success over time will likely be influenced by the greater homogenization of Islam within Indonesia that is occurring partly through the educational system.

Another characteristic of the 2014 elections showing the appeal of an Islamic message to voters is that one of the candidates for the presidency, former General Prabowo Subianto, who barely lost the election, had statements in his party, Gerindra’s, official manifesto that risked endangering the secular foundation of the state, such as declaring a vital task of the state was to “guarantee the purity of religious teachings that are recognized by the State [and guard them] from deviations and contempt from other religious teachings.”<sup>71</sup> Prabowo was known in the 1990s to have close ties to very conservative Islamic groups that want to see Indonesia

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<sup>70</sup> The PKB party that largely represents the traditional, rural based ulama is mistrustful of the modernist groups due to historical experiences dating back to the 1920s but continuing until now. The PKB accuses modernist groups of attempting to eradicate the power of traditional ulama in the country and spread fundamental modernist practices across the country. The PKB received 9% of the vote in parliamentary elections making it the biggest vote getter of the Islamic parties; however, the other three parties each received approximately 7% each and are all considered modernist in orientation making their total votes much higher than PKBs (Gwenaël Njoto-Feillard. May 9, 2014).

<sup>71</sup> Gwenaël Njoto-Feillard (May 9, 2014).

become an Islamic state.<sup>72</sup> While he may have been and continues to use such groups for his own political ambition, he tapped into the conservative Islamic groups for support in his attempt to become President. He also garnered support from factions in the military that share the worldview of conservative Islam and goals of Islamizing Indonesia further. Although Prabowo was also supported by groups in society seeking rents through his ascendancy, or seeking a return to a more orderly military style government, his near success in capturing the presidency in 2014 shows the appeal of an Islamic message among Indonesian society and the strength of a network of leaders in society, governance, and the military that are willing to see a greater Islamization of the country. If he were to win the presidency next time, Indonesia would surely become an even less tolerant society of pluralism and may even head down a path of ending democracy.

The winner of the July 2014 presidential election was a populist and moderate Muslim, Joko Widodo (Jokowi), who was the governor of Jakarta and former mayor of Solo, Central Java. He ran for president as a candidate of the PDI-P Party, which historically was the nationalist and secular party of Indonesia's first president, Sukarno, and is now led by his daughter, Megawati Sukarnoputri. Jokowi has a history of being tolerant to pluralism and a defender of social justice; however, the close race indicated that a very different candidate has the potential to be elected next time. Prabowo carried the baggage of having been exiled from the country in 1998 due to allegations of human rights abuses as head of the Indonesian Special Forces during the protests that ousted Suharto, his ex-father-in-law, from power. Thus, while he had the support of many of Suharto's former allies, he also was vilified for his past. Thus, his Islamic leaning and connections were not the main trait characterizing him, but his political rebirth partly through the use of Islam shows it is possible to use Islamic discourse and

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<sup>72</sup> Gwenael Njoto-Feillard (May 9, 2014).

networks to propel oneself to power, which is cause for concern in a country that is showing signs of becoming more Islamic oriented.

The strength of Islam as a political factor and the growing acts of intolerance in society, along with the Indonesian leadership's tacit approval for intolerance is troubling and causing observers to ask why this is happening. The above described intolerance is co-occurring with surveys showing Indonesians support democratic participation, human rights, and interfaith tolerance, further complexifying analysis of Islam in Indonesia.<sup>73</sup> Other surveys, however, show increasing support for Islamic law, groups enforcing a strict version of Islamic practice, and practice of personal piety that is stronger than in several other Muslim majority countries.<sup>74</sup> Similarly, Bagir and Cholil (2008) analyzed anti-pluralism discourse in Indonesia and found a recurring theme that criticized the westernization of Islam and a stance that pluralism would lead to relativism and weaken people's commitment to Islam.

How does one make sense of the conflicting evidence regarding Islam's role in Indonesian society and politics with evidence on the one hand of radical elements, intolerance, and the growing importance of Islam in politics with evidence on the other hand that points to most Islamic schools and the largest mass based Muslim organizations in Indonesia being relatively moderate and the public's support for democracy? The answer lies in acknowledging that support for political participation and democracy does not necessarily mean a lessening role for religion in politics and greater toleration. These western ideals typically go together, but in non-western countries, democracy may manifest differently. A look at schools in Indonesia, particularly civic and religious education, is instructive for understanding how Islam is evolving and influencing this young democracy.

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<sup>73</sup> Mujani, Saiful (2007) and Esposito, John L. and Dalia Mogahed. (2007).

<sup>74</sup> Pew Global Attitude Project (May 17, 2011) and Hassan, Riaz (July 2007).

## **Indonesia's Educational System**

### ***Secular Public General Education schools***

The Indonesian educational system consists of public and private schools organized into elementary (grades 1-6), junior secondary (grades 7-9), and senior secondary school (grades 10-12). The public general education (secular) schools are overseen by the Department of Education; whereas, the religious schools are overseen by the Department of Religion. President Suharto mandated in 1973 that education would become compulsory through completion of elementary school (grades 1-6). This mandate was phased in and completed in 1984. In 1994, President Suharto decreed that education would become compulsory through grade nine. While full compliance has not yet been achieved and enrollment drops significantly in the junior secondary schools, the government is still attempting to increase enrollments, most recently through President Jokowi's "Smart Card" program begun in late 2014 to help poor families pay for their children's education.

Under Suharto's "New Order" that lasted from 1967-1998, schools became part of the "franchise" structure of administration where people paid to receive a position in a government affiliated agency, such as the police, license issuing agency, or school administration. In exchange, the government official had access to rents collected during the course of the job. This meant that public general education schools began to charge more fees to attend school, including, for example, fees for exams, photocopying, uniforms, books, extracurricular activities, building construction and maintenance, an enrollment fee, and tuition for operating costs. Teachers sometimes asked for "donations" for students to receive their grades or demanded students needed private tutoring in order to pass. A portion of these rents were then passed up to the principle in order for the teachers to keep their jobs.<sup>75</sup> These fees were unofficial. The government maintained that public education was free but began in the late

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<sup>75</sup> Rosser, Andrew and Anuradha Joshi (February 2013).

1990s to address the issue of unofficial school fees and recognize their existence. The schools claim that they do not receive enough money from the government to run the schools and therefore must charge the informal fees to operate; however, there is significant evidence of money being siphoned off at all levels and it not reaching the schools.

In response to the economic and political crisis of the late 1990s, the government decentralized the schools in 1999 to the district level in terms of budget and administration.<sup>76</sup> In 2000-2002, the national legislature amended the Constitution to state that all Indonesians had the right to an education and required citizens to pursue a basic education and for the government to fund it, specifically mandating that central and regional governments spend 20% of their budgets on education. In 2003 these changes were reinforced by a law on the National Education System stating that central and regional governments will guarantee the implementation of compulsory education at least at the basic education level without charging any fees and that teacher salaries were not a part of the 20% to be spent on education.<sup>77</sup> However, the Constitutional Court said that the 2003 law keeping teacher salaries out of the 20% violated the constitutional provision that had not stated this specifically. Further eroding government expenditures on schools is that many district governments include non-educational expenses in their calculations.

A 2005 mandate to increase teacher salaries and require all new teachers have a bachelor degree is supposed to improve teacher quality and ensure a minimum living wage for teachers, but this cuts into the already sparse budgets of schools despite President Yudhoyono increasing the proportion of the budget spent on education in 2004. In 2005 President Yudhoyono again increased school budgets through providing funds directly to schools on a per pupil basis for books, operating costs, supplies, etc. Schools were supposed to reduce their

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<sup>76</sup> There was less money in the budget of the central government due to the collapse of the Rupiah in 1997 and the IMF was encouraging decentralization and privatization of all government services as a condition of its crisis loans.

<sup>77</sup> Rosser, Andrew and Anuradha Joshi (February 2013).

fees in response and in 2008 he instructed district governments to ensure there was free basic education. Later in 2008, in response to continued resistance at the district level, the Yudhoyono administration decided that free basic education could only be guaranteed to poor families. The government therefore issued a regulation granting permission to “international standard” schools (SBI) and schools trying to develop a “basis of local superiority” to continue charging fees, which in effect meant that middle and upper class children attending these schools would pay a fee, while poor children attending the lower quality public schools would attend for free.<sup>78</sup> It was in fact many middle and upper class families that did not want fees to end because they feared the quality of their schools would lower over time and they were cheaper than the expensive secular elite private schools.<sup>79</sup>

While user fees have declined significantly in the post-Suharto era, they have not been eliminated and vary according to district and school.<sup>80</sup> The fees push many poor families into sending their children to private madrasahs that are funded by private organizations and thus cheaper. These madrasahs that service poor communities usually do not have much equipment, including chairs and desks, and do not provide as good of an education as the public secular schools and their fees typically rise in junior secondary school.

Indonesia scores very low in international educational measures of skills. They were ranked 64<sup>th</sup> out of 65 countries in math, reading, and science skills according to the 2012 Program for International Student Assessment. As of 2012, 51% of people aged 15-18 were enrolled in senior secondary schools.<sup>81</sup> The gross enrollment ration (GER) at the higher education level, which is the total enrollment as a percentage of the college-age population, is 25%, which is the lowest percentage of all BRIC nations, except India, which has a GER of

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<sup>78</sup> Rosser, Andrew and Anuradha Joshi (February 2013).

<sup>79</sup> Private madrasah, except the newer elite model, are cheaper than public schools; however, there still exists private elite schools that are more expensive than public schools.

<sup>80</sup> Rosser, Andrew and Anuradha Joshi (February 2013).

<sup>81</sup> Clark, Nick (April 4, 2014).

20%.<sup>82</sup> This GER is, however, more than double what it was in 2001, and the Indonesian government plans to keep expanding the number of students in higher education.

Newly elected President Jokowi (Joko Widodo) has instituted a “Smart Card” program for the country similar to the one he instituted as mayor of Jakarta. Children who are eligible based on financial need will be given a debit-card that can be used to pay for school related expenses. The government will put the money into their account monthly and the student can use the card to pay for school fees, books, supplies, transportation, and uniforms. The expenses will be monitored and the money will not go through numerous levels of administration as it has in the past; thus, reducing opportunities for corruption. This program coincides with cards issued for health care and social welfare. The national program was begun in November 2014 and could potentially help poor children attend school. The Smart Card will provide Rp 225,000 (\$18) per semester for elementary students, Rp. 375,000 (\$31) per semester for junior secondary students and Rp. 500,000 (\$41) per semester for senior secondary students, including vocational studies.<sup>83</sup>

### *Islamic Schools*

Indonesia’s population is approximately 90% Muslim and Islamic identity is growing; however, Indonesia is not an Islamic state, nor is Islam the official religion of the state. The constitution states adherence to five principles, together called Pancasila. The first of these principles is “belief in one God” with six religions being recognized. These include Islam, Protestant Christianity, Catholicism, Hinduism, Buddhism, and Confucianism. Pancasila, including adherence to a religion is viewed as strengthening national identity, which was a concern for this diverse archipelago when achieving independence. The state therefore supports religion and the teaching of religion through the Department of Religion and

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<sup>82</sup> Clark, Nick (April 4, 2014).

<sup>83</sup> Surya, Aditya. (November 21, 2014).

Department of Education and has required by law the study of one's own religion in both public and private schools since 1960. The state also runs Islamic schools through the Department of Religion as well as overseeing the private religious schools. The state (under Suharto) established the MUI (Majelis Ulama Indonesia; Council of Islamic Scholars/Leaders) as discussed above to provide Islamic "opinions" about legislation, government policy, and issues affecting society and the practice of Islam. Therefore, even though the Indonesian state is not Islamic based, it has shown a history of supporting the cultivation of Islam and encouraging religious piety as part of the Indonesian national identity. While freedom of religion is protected by the constitution, as long as it is one of the six religions noted in Pancasila, there is not separation of Church and State in the same way that it exists in the United States. The Indonesian state is based on Pancasila and therefore is bound to support and uphold religion since the first principle of Pancasila is belief in God/religion.

Islamic schools are over 90% private in Indonesia, although there are some state run Islamic schools (madrasahs) that were increased in the mid-1990s as part of Suharto's efforts to coopt and gain control over Islamic movements, schools, and identity formation.<sup>84</sup> The private Islamic schools fall into two categories. The first is the pesantren, which are traditional boarding schools teaching classical Islamic traditions of knowledge and are found mostly in rural areas and frequently affiliated with one of the two Indonesian mass based Islamic organizations, Nahdlatul Ulama. There are over 10,000 pesantren and these are run by local ulama, who are frequently called "kyai" in Indonesia. Kyai often blend pre-Islamic elements into their role as head of a pesantren, such as performing spiritual healing, fortune telling, and magical potion giving for a fee. The second type of Islamic school in Indonesia is the madrasah, which is either run by an individual, small group, or the second mass based Islamic

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<sup>84</sup> Of the madrasahs, state run madrasahs account for 6.4% at the elementary level, 10.6% at the junior secondary level, and 13% at the senior secondary level as of the mid-2000s, according to Azra, Azyumardi; Dina Afrianty; and Robert W. Hefner (2007).

organization in Indonesia, called Muhammadiyah. Madrasahs in Indonesia are usually day schools without residential facilities and they tend to be more modern in teaching style and curriculum than pesantren, although they also teach a more modernist variant of Islam that is sometimes associated with fundamentalism and is frequently opposed to the more traditionalist, blended Islam taught in the pesantren. There are approximately 37,000 madrasahs in Indonesia and their popularity, particularly elite ones, are growing.<sup>85</sup> Elite private madrasahs, either run by Muhammadiyah or a smaller group or an individual, have become popular with the middle and upper classes in Indonesia. These elite madrasahs are quite expensive and have excellent facilities and instruction in the sciences, English, and the arts.

### ***Indonesian Pesantren and “Traditional” Islam***

Pesantren have existed in Indonesia at least from the 1600s, beginning in the coastal areas of the islands, Sumatra and Java, where Islam first spread to Indonesia. In the late eighteenth and early nineteenth centuries, pesantren spread to the interior of Java as returning pilgrims from Mecca and Medina spread Islam to areas that were only nominally Muslim. The peace brought with colonialism allowed for this spread. Previously, the archipelago consisted of warring small kingdoms.<sup>86</sup> Pesantren blended pre-Islamic traditions with Islam and continue to do this to a large extent today. They therefore are said to represent the “traditional” variant of Islam in Indonesia as opposed to the modernist variant discussed below.

Pesantren curriculum consists of study of the Qur’an and hadith, jurisprudence (fiqh), Arabic, mysticism (tasawwuf), and Arab sciences (alat). A pesantren typically consists of a mosque, dormitories, the kyia’s residence, and “classrooms,” which typically have a concrete floor and no furniture. Children are divided by ages and sex and sit on the floor. Instruction is done by recitation. Prior to the mid-1970s, children usually began attendance around age

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<sup>85</sup> Azra, Azyumardi; Dina Afrianty; and Robert W. Hefner (2007).

<sup>86</sup> Laffan (2003).

eleven or twelve and lived at the Pesantren for three or four years. Some acquired enough reading and writing skills and Islamic knowledge to become a local mosque leader and teacher. Some pupils even went on to a pesantren that taught more advanced knowledge and continued their studies up to and occasionally including study at an Islamic university. No grades were given and pupils advanced at their own pace.

Pesantren were usually economically self-sufficient engaging in raising livestock, agriculture, and/or handicrafts. These were some of the skills children learned in addition to Islamic studies. In the 1920s, some pesantren began to include instruction in math and/or history due to the influence of Dutch colonial schools. By the 1950s, most pesantren taught some rudimentary general education curriculum; however it was usually rather limited due to the limitations of the kyai's knowledge, except in the larger pesantren. Nowadays, pesantren frequently allow a government school or madrasah to exist on or near its property in order to meet the requirement that the national curriculum be followed as is discussed below.

### ***Indonesian Madrasahs and Modernist Islam***

In the early 1900s, modernist Islamic schools, called madrasahs in Indonesia began to be founded by scholars returning from studies in the Middle East. The first ones were founded in West Sumatra and south-central Java. In Indonesia, the name "madrasah" was given to Islamic schools that taught general education studies, in addition to Islamic knowledge. The madrasahs were denounced by the traditional pesantren leaders as western and irreligious.<sup>87</sup> Although the model for the Indonesian madrasah education came partly from Dutch colonial and Christian missionary schools, the madrasahs were affiliated with "modernist" variants of Islamic practice that was popular in Egypt and the Middle East. In both Indonesia and the Middle East, it was recognized by a new generation of Muslim scholars and leaders that in order to not be dominated by the West, Muslims had to learn more than religious studies in

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<sup>87</sup> Azra, Azyumardi, Dina Afrianty, and Robert W. Hefner (2007).

schools. Religion could be infused throughout the curriculum, but students needed to learn science, math, and history, for instance, in order to create a strong Muslim society. Thus, ideas of religious revival became intertwined with modern education, and the building of madrasahs was part of the “modernist Muslim” movement that swept across the Muslim world in the 20<sup>th</sup> century and is still shaping Islamic identity and power.

Modernist Islam refers generally to a more Qur’anic based practice of Islam, which is sometimes more fundamentalist, but also can allow for contextual interpretation of the Qur’an. This is contrasted with the ulama based traditional practice of Islam where local religious leaders provide interpretation of Islamic precepts and instruct on how Islam should be practiced according to their knowledge of a particular “school” of Islam, which refers to a particular tradition of Islam that developed over centuries. The difference between modernist and traditional Islam is a bit similar to the difference between Protestantism (Bible based) and Catholicism (priest based) Christianity. Modernists also apply the Qur’an to modern times, while maintaining their strict adherence to the Qur’an. Therefore, it becomes confusing to attempt to categorize the modernists and traditionalists according to one being modern and the other pre-modern. The distinction does not fall along those lines as modernists are frequently more ardent about following the Qur’an and hadith closely and living according to Muhammad’s example than are traditionalist ulama. The difference is more about the “purity” of Islam with modernists claiming to be more pure and pointing to the institutionalization of ulama as interpreters of Islamic practice and the existence of different legal schools of thought as being “corruptors” of true Islam.

A “back to the Qur’an” approach is thus taken by modernist, but simultaneous with encouraging learning modern, non-Islamic knowledge and applying the Qur’an to time and place in order to make Islamic civilization strong again. The kyai (ulama) in Indonesia are viewed by many modernists as being backwards, teaching an impure Islam that is infused with

pre-Islamic traditions, corrupt institutionally for using their positions to gain wealth, and uneducated in modern disciplines. In other words, modernist Muslims tend to view traditional ulama (kyai) as inept for moving Indonesian society forward. On the flip side, traditional ulama in Indonesia accuse the modernists of attempting to bring fundamental Islam to Indonesia and of trying to homogenize Islam artificially in Indonesia that would result in a loss of a precious Indonesian variant of Islam. Kyai call modernists arrogant and accuse them of wanting to move Indonesia backwards to the time of Muhammad.

Two mass based Muslim organizations were created in the early 1900s in Indonesia and represent the opposing viewpoints of modernist and traditional Islam described above. Muhammadiyah was created first and engaged in social welfare and educational activities as it strove to bring modernist Muslim ideas to Indonesia. Nahdlatul Ulama (NU) was created in response to Muhammadiyah. Although the traditional ulama were present in Indonesia first, they had not been organized but instead existed as independent kyai running pesantren. NU is therefore a network of pesantren leaders and people who support the traditional style of Islamic practices that frequently blends pre-Islamic traditions. The two organizations are sometimes rivals and antagonistic toward each other, but not to a large extent that one might assume. It is rather common in recent years for children to begin in a pesantren school, but move to a Muhammadiyah madrasah for practical reasons such as the availability of the school, and to become a member of Muhammadiyah blending the two traditions. NU and Muhammadiyah sometimes work together on political issues, but there does remain a fear within NU that Muhammadiyah seeks to eradicate it and all they stand for while Muhammadiyah members do express a demeaning attitude toward NU for not being purely Islamic enough.<sup>88</sup>

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<sup>88</sup> These insights are from the author's several years of living in Indonesia studying these Islamic groups.

Girls are educated at both madrasahs and pesantren, although frequently in separate rooms. Indonesia is a leader in the Muslim world for its education of girls and acceptance of women in the workplace. Not that there is no gender discrimination nor push to keep women at home with the family raising children, but there is a widespread belief that women can and should be contributing members of society outside of the home. However, women more frequently now wear headscarves and Muslim attire, which is a visible result of the Islamization of Indonesian society and the growing influence of the modernist Muslims who encourage women to be contributing members of society but within a Muslim context, including appropriate dress. For instance, women are accepted as working, although not if it interferes with their family life, but they must cover appropriately and not walk alone in the evening or in unseemly places. They also should not be alone with men. Traditional Islam in Indonesia allows for pre-Islamic patterns of dress and one rarely sees women's heads covered in rural, traditional regions. The encouragement to be a modern Muslim woman, who is educated and even working, but follows the Qur'an is evidence for the direction Islam is taking in Indonesia. This is similar to how democratic participation is encouraged but within the context of a Muslim society as is discussed below.

***Government-Islamic Schools' Relationship and the Growth of Islamic Schools as a Means to Educate Indonesians***

In 1975 the "Agreement of Three Ministers" was signed by the Departments of Religion, Education, and Internal Affairs, and agreed to by many of the main Islamic leaders who negotiated on behalf of the schools, both traditional pesantren and modernist madrasahs. It stated that Islamic schools should follow the government general education curriculum for 70% of the instructional day and use government issued textbooks that were the same as those used in the public general education schools. The Islamic leaders agreed to this because they were afraid that if they did not, they would be incorporated into the public general education system

and cease to exist as Islamic schools. In 1961, when Sukarno was still in power, the national parliament had passed a law stating that in eight years, religious schools would be transitioned to oversight by the Department of Education, which raised fears they would be secularized. Suharto came to power in 1967, but he and other nationalists saw the need to develop a stronger public education system. The Islamic leaders were therefore happy that the Agreement of Three Ministers allowed the Islamic schools to remain under the Department of Religion and to continue existing as private Islamic schools.

Even many of the traditional ulama were willing to participate in building the strength of the country through educating its people with a modern curriculum, as long as they were still allowed to teach Islam and be leaders for the community through running the pesantren. They saw that they could keep students in the pesantren if they cooperated with the government, which enabled the school to be certified and students to receive government recognized diplomas. Otherwise, pesantren and madrasahs may have seen declining enrollment and withered. However, pesantren needed help and government teachers to teach the national curriculum. Thus, many government schools opened on or near the property of numerous pesantren where students studied at both schools and this pattern still exists today and allows national and religious goals to both be met and has kept the pesantren tradition alive. Madrasahs were mostly already teaching modern studies along with religion, so the acceptance of the 70/30% split in instructional material was not as big of a change for them as it was for pesantren. The Department of Religion also opened a few public madrasahs to serve as models of combining the national curriculum with Islamic teachings. These schools were expanded and increased in number during the 1990s, but are still far outnumbered by the private madrasahs and pesantren.

Under the Agreement of Three Ministers, graduates from Islamic schools could obtain a diploma that was considered equivalent to a public, general education diploma if the school

had complied with providing 70% of instruction in the national general education curriculum. This paved the way for admittance to state run Islamic colleges and some public secular universities and was later expanded to make graduates eligible for admittance to all institutes of higher education. Therefore, while the Agreement of Three Ministers encouraged the teaching of the national curriculum, by making Islamic schools more mainstream, it increased their popularity and maintained their presence in society because students could attend an Islamic school and still learn general education and have their diploma viewed as being equal to one from a secular public general education school.

In 1989, the government enacted a new National Law on Education, which was later amended by the National Law on Education of 2004. This law identified private Islamic schools, both madrasahs and pesantren, as being a subset within the national educational system and therefore subject to following decrees and regulations issued by the Department of Education, including participating in the government's efforts to make education compulsory through the ninth grade. Even though the Islamic schools had to follow guidelines of the Department of Education, the Department of Religion was allowed to provide curricular material and texts that met the objectives of the Department of Education but also infused an Islamic perspective into the material. Therefore, the Departments of Religion, Education, and the schools continued to work collaboratively and the Islamic schools continued to be a vital part of the Indonesian education system, even though most were privately run and pesantren were generally still very traditional with children sitting on the floor and instruction of Islamic studies being done through rote memorization and children working communally to keep the pesantren economically viable. The decision to keep ensuring Islamic schools were a vital part of the national effort to educate the next generation, helped to ensure Islamic schools and Islamic teachings would remain an integral part of Indonesian society.

In 1994, the Department of Education issued a “regulation on National Curricula,” which included the decision to allow graduates from Islamic schools to be eligible for admittance to all public, secular universities, including the most prestigious universities in Indonesia. This made the Islamic schools even more popular since now students would not have their opportunities limited in regard to higher education if they graduated from an Islamic senior secondary school. Previously, some, but not all, secular public schools accepted students from Islamic schools. As of the mid-2000s, madrasah and pesantren graduates can also enroll in the military and police academies thus making education through Islamic schools a viable path for any career choice.<sup>89</sup> Frequently being cheaper than the secular public schools, parents often chose Islamic schools for their children’s education.

The chart below shows what percentage of students attend what type of school in which grades, how many are female, and the growth rates.

**2001-2 Enrollment Figures for Private Madrasahs, Public Schools, and Pesantren<sup>90</sup>**

Level of School	Private Madrasah	Public General Education School	Pesantren
<b>Elementary (Grades 1-6)</b>	3,075,528 (50% female)	25,850,849 (49% female)	
<b>Junior Secondary (Grades 7-9)</b>	1,961,511 (51% female)	7,466,458 (44% female)	
<b>Senior Secondary (Grades 10-12)</b>	661,104 (55% female)	5,051,640 (47% female)	
<i>All Grades Combined</i>	<b>5,698,143</b>	<b>38,368,947</b>	<b>1,770,760<sup>91</sup></b>

*Source: Department of Religion 2003*

**Growth of Madrasahs and Public Schools’ Enrollment Growth 1998-2001<sup>92</sup>**

<sup>89</sup> Azra, Azyumardi, Dina Afrianty, and Robert W. Hefner (2007).

<sup>90</sup> Adapted from information in Azra, Azyumardi; Dina Afrianty; and Robert W. Hefner (2007).

<sup>91</sup> This figure is from 1997 and is from Jabali and Jamhari (2002).

<sup>92</sup> Adapted from information in Azra, Azyumardi; Dina Afrianty; and Robert W. Hefner (2007). Figures for Pesantren growth were not available.

Level of School	Private Madrasah	Public General Education School
<b>Elementary (Grades 1-6)</b>	2.5%	-0.2%
<b>Junior Secondary (Grades 7-9)</b>	3.3%	0.1%
<b>Senior Secondary (Grades 10-12)</b>	9.4%	2.4%

*Source: Department of Religion 3003*

The above charts point to a couple of notable trends. One is that private madrasahs are increasing enrollment more than the secular, public general education schools, particularly at the senior secondary level (grades 10-12). The second trend that can be seen is that the enrollment at junior secondary level private madrasahs (grades 7-9) is a higher proportion of the number of students being educated. Over 20% of students are enrolled in private madrasah at this level. A third trend is that more girls attend private madrasahs than boys, with the difference being highest at the senior secondary level (grades 10-12). Although figures were not available for pesantren, estimates are that girls similarly are enrolled more than boys in pesantren at the higher grade levels.

Why are more students attending private madrasahs in the middle years? In answer to this question, according to Azra (2007) who gathered interview data, parents want their children to have some religious education and view the middle years as a tumultuous time needing more guidance. Furthermore, if a family is to keep their child in school beyond elementary years, it typically costs less to attend a private madrasah than it does the public school. Elementary level madrasahs are typically of lower quality than elementary public schools; therefore, it is common for parents to put their children in the public secular school at the elementary level, but then switch to the cheaper madrasah for the middle years. The quality of education tends to improve at this level in the madrasah. For senior secondary school, many students do not continue and those that do will sometimes switch back to the secular public school thinking their chances of doing well on university entrance exams will be higher because the scores still tend to be higher for students from the public schools. Socio-economic class is

relevant also because students who continue schooling at the senior secondary level are usually from more affluent families and cost is not a hindrance. They also can likely afford private tutors to help study for the university entrance exams.

However, the trend more recently has been for affluent families to send their children to elite madrasahs, which explains why more senior secondary madrasahs are opening. These madrasahs are more expensive but well equipped and provide solid training in both general education and religious studies. Since the mid-1990s, as stated above, all public secular universities are required to consider graduates from Islamic schools that meet the 70/30% curriculum split for acceptance. This has fueled the growth of elite private madrasahs at the senior secondary level.

As for why more girls attend the private Islamic senior schools, the answer lies in the discussion above – the secular public senior secondary schools were viewed as necessary for admittance into the best universities until recently. Most families still viewed male children as needing the best education. This, combined with the view that girls' virtuosity needed to be guarded, made the private madrasahs a more attractive and cheaper option for parents of girls, which allowed girls to be educated, but freed up educational money for the boys to attend the more expensive public general education school and then seek admittance into the best universities to develop their future career prospects. Thus, even though girls are educated in Indonesia and working women are generally accepted, the emphasis is still more on preparing males for breadwinning, not very different from the situation in Western countries.

It should also be noted that many students cross-over between secular public general education schools and private madrasahs, and even pesantren, throughout their school years. Families strategize to obtain the best education for their children based on cost, desire to keep children living at home, general educational quality, and religious education.<sup>93</sup> Azra (2007)

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<sup>93</sup> Azra, Azyumardi, Dina Afrianty, and Robert W. Hefner (2007).

notes that many of the parents interviewed stated they wanted their children to have both a religious and a quality general education and that at different levels, different choices were made based on these two goals of education. Therefore, the chart above represents how many students are in Islamic schools at one point in time, but it does not capture how many students have ever been in an Islamic school. This figure would be much higher.

With crossing over between secular public general education and Islamic schools common and easier now with the Islamic schools following the national curriculum and with the eligibility for acceptance of students from Islamic schools into all universities, the interactions between students from the various schools is ever increasing. It is no longer uncommon to find graduates from Islamic schools at the Universitas Indonesia, the most prestigious university in Indonesia. In addition, the state run Islamic universities have improved and increased the quality and breadth of general education, which makes the Islamic universities a viable option for gaining an education conducive to building a solid career and advancing oneself within society.

In addition to making Islamic schools more mainstream and allowing for students to move back and forth between Islamic and secular schools, the increase of religious instruction in the public secular schools from one to two hours per week (begun in 2013) and the mandate that this instruction be done by a teacher who adheres to the faith being taught (numerous non-Muslim children in Catholic schools will now learn Islam from a Muslim) is resulting in all children being taught quite a bit of religion; thus, making the cross-over between secular and Islamic schools more natural and easy on all sides. The results have been to slowly Islamize the younger generation and this Islamization is also becoming more homogenous. The Department of Religion works with the Department of Education in developing the curriculum for the teaching of Islam in the secular schools; thus, exposing children to the same Islamic instruction in secular public schools. It is a modernist type of Islam. Pesantren still mostly

teach a traditional variant of Islam but now students attending pesantren are more likely than in the past to also attend a non-pesantren school at some point and be exposed to modernist Islam. Some pesantren have even begun to blend in teaching of modernist Islam or encourage students to find their path within Islam that is most meaningful to them.

With the popularity among the middle and upper classes of elite madrasah, the trend of slow Islamization will only strengthen as Islamic education is no longer viewed as something that holds one's chances for success in life back. In fact, it is becoming fashionable to have attended Islamic schools. These students then become leaders within business, organizations, and government. Islamic education is thus contributing to the growing, albeit slow, Islamization of Indonesian society and governance. It is not necessarily increasing in a radical direction, but Indonesia is becoming more Islamized through the greater attendance and acceptance of Islamic schools in Indonesia, the teaching of Islam in secular schools to all Muslim students, and the frequent cross-over of students between secular and Islamic schools. This Islamization can be seen in the significant increase in women wearing Islamic dress and headscarves, which was unusual in Indonesia just a couple decades ago. It can also be seen in the voting for Islamic parties, acceptance of some Islamic law in a growing number of districts, acceptance of Islamic oriented policies from the national government, the conservative fatwas issued by the MUI, the Islamization of public discourse, and the increasing number of parents who chose to send their children to Islamic schools, which in turn reinforces the cycle.

A look at what has been happening within the higher education sector is interesting as it shows the strengthening of Islamic universities and the growing prestige of their degrees and the Islamization of public secular campuses.

### ***Islamic Higher Education***

The new President of Indonesia, Joko Widodo (called Jokowi), announced in October 2014 that the Directorate of Higher Education would leave the Department of Education and

Culture and move to the Department of Research and Technology (now called the Department of Research, Technology, and Higher Education).<sup>94</sup> This Directorate is still responsible for overseeing all the public and private secular institutes of higher education. The Department of Religion still oversees the Islamic universities and colleges, both public and private. This move was taken in order to better connect research, universities, and the rest of society, including business, energy, etc. Connecting research to places in society that need to keep abreast of the latest research will help the country grow economically and encourage universities to conduct more research that is beneficial to society. Indonesia needs to expand and keep improving its higher education sector as discussed below.

Indonesia ranks low compared to other emerging economies in terms of the percentage of its college aged population enrolled in higher education. With only 51% of its 15-18 year olds enrolled in senior secondary schools, low college enrollment rates is understandable. The government is attempting to increase enrollment in higher education, as well as in junior and senior secondary education. Thus, Islamic schools, at all levels are being used to increase enrollments. The infrastructure is already there, so the government has sought to improve the quality of education in Islamic schools and increase their enrollments. This is simultaneous to planning the establishment of a network of public secular community colleges with credits transferable to a university. These community colleges will focus on training for jobs in manufacturing, nursing, automotive technology, and other trades. The government also plans to create technical colleges and increase vocational secondary schools.<sup>95</sup>

Competition for entry to Indonesia's public universities is very fierce. There were only seats for 18% of students who took the entrance exams for public, secular universities, which are the most prestigious in Indonesia, in 2010.<sup>96</sup> Students not accepted to the public secular

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<sup>94</sup> Nurdiani, Ria (November 14, 2014).

<sup>95</sup> Clark, Nick. (April 4, 2014).

<sup>96</sup> Clark, Nick (April 4, 2014).

universities typically seek admission to smaller colleges, but many are private and expensive. The Islamic universities and colleges use a different exam that includes Arabic grammar and religious studies. This is true for both public and private Islamic university entrance exams. Students from Islamic schools frequently take exams for public secular universities and the entrance exams for Islamic universities. Since the existence of lower tier public secular colleges and community colleges has been limited, many parents see advantages to having their children attend Islamic schools because they will then have more options when seeking higher education. Students who attended Islamic schools previously, typically do better on the entrance exams of the Islamic universities because they studied Arabic and a lot of religious studies and can do well on these portions of the tests.

The first Islamic university in Indonesia was opened in 1946 in Yogyakarta, South Central Java, and was called the Sekolah Tinggi Islam (Islamic School of Higher Learning) but was renamed two years later, the Universitas Islam Indonesia and still exists under that name today. This school taught western curriculum of science, math, social studies, and Islamic studies. It was a modernist Muslim university that was comfortable mixing Islamic and western style education.<sup>97</sup> In fact, the mixing of the two traditions was viewed by its founders and supporters, particularly Muhammad Hatta, a nationalist hero, as necessary in building a strong Indonesian nation. Islam, modernity, and nationalism were thus linked, as seen in the establishment of this university.

In 1960, the Indonesian government began a nation-wide system of State Islamic Institutes (Institute Agama Islam Negeri or IAIN). Over a hundred small campuses existed by the 1970s that consisted of one building with underpaid and poorly trained teachers.<sup>98</sup> In 1975, the Department of Religion reorganized the IAIN system of Islamic universities reducing the

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<sup>97</sup> Azra, Azyumardi, Dina Afrianty, and Robert W. Hefner (2007).

<sup>98</sup> Azra, Azyumardi, Dina Afrianty, and Robert W. Hefner (2007).

number of campuses to 13. The Department of Religion also began sending senior officials from the Department of Religion and IAIN campuses to universities in Canada, the US, and West Europe to study in an effort to modernize the Islamic university system. This evolved into a special relationship with McGill University's Islamic Studies Program in Canada, which is where numerous senior officials have studied and are still sent today.<sup>99</sup> Today there are six Islamic research universities called UIN (Universitas Islam Negara) that offer advanced degrees in medicine, law, psychology, economics, comparative religion, and other fields in addition to Islamic sciences and thirteen IAIN.<sup>100</sup> There are thirty-three second-tier state Islamic colleges, called Sekolah Tinggi Agama Islam Negeri or STAIN (State Islamic School of Higher Education). In the state run Islamic universities and colleges, no specific legal school of Islam (madhhab) is taught. Instead students are exposed to several and are required to take a course in contextualizing Islamic teachings.

Since 2003, students are required to take a civic education course that includes instruction on democracy, civil society, and human rights, including women's rights, which will be discussed below.<sup>101</sup> Shortly afterwards, the Muhammadiyah private Islamic universities adopted a similar required course. The fact that the Islamic universities and colleges employ faculty trained to teach in their discipline, as opposed to merely being trained in Islamic studies, combined with the required contextualization of Islam course and the civic education course, as well as the lack of emphasis on any one legal tradition within Islam has improved the quality and broadened the viewpoints of teachers trained at these institutes of higher education. Most of these teachers go on to teach at pesantren or madrasahs; thus, the modernized education is filtered down to the lower levels of education. Some of the more

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<sup>99</sup> Azra, Azyumardi, Dina Afrianty, and Robert W. Hefner (2007).

<sup>100</sup> The IAIN in Jakarta was converted to a UIN in 2002, which began a government push to convert IAINs to UINs in order to offer opportunities in several province to receive advanced degrees in secular fields within an Islamic university.

<sup>101</sup> The civic education was first piloted at the Jakarta IAIN (now UIN) in 2000.

stringently fundamentalist madrasahs are in fact leery of hiring graduates from the state run Islamic universities and colleges because they are viewed to have been liberalized. They prefer graduates from the private Muhammadiyah universities that also teach the non-Islamic sciences but adhere to a stricter teaching of Islam.

The Muhammadiyah organization runs an extensive network of private universities and colleges that ranges from research universities to smaller regional colleges. They have been actively improving the quality and breadth of their non-Islamic programs, similar to the state run Islamic universities, but doing so with more infusion of Islamic doctrine that is Qur'anic based. However, the modern and general education basis of instruction in both the state and Muhammadiyah run Islamic universities and colleges has allowed students from both subsets of Islamic higher education to be educated well in an Islamic based setting and become leaders on par with graduates from the secular universities.

The most prestigious secular universities are becoming more Islamized due partly to the extensive cross-over of students in and out of Islamic and public general education schools during grades 1-12. The mandate for religious instruction in a student's own religion, not comparative religious studies, in the secular public schools during grades 1-12 ensures all students have religious training, even if their families were not mosque attending or very religious. Since education is compulsory through grade nine, even though this is not fully achieved, it means most all of Indonesian society has weekly religious instruction for nine of the most formative years and those attending college would have had formal religious instruction for twelve years. Recently, the government mandate for religious instruction was increased from one to two hours per week and the religious instruction must be provided by a religious teacher from that religion as described above.

The forced training in religion for all Indonesian students; the prominent role of Islamic schools in educating Indonesians at all levels; the prominent role graduates from Islamic

schools play in all sectors of Indonesian society, economy, and governance; and the extensive cross-over of students between Islamic and secular public general education schools are all contributing factors to the Islamization of Indonesian society and its secular universities. The Islamization of the secular public universities is evidenced by the growing strength of Islamic organizations on their campuses and pressure for women at these prestigious secular institutions to wear Islamic clothes and Islamic head scarves.

### **Islam during Suharto's Last Years and in the Young Democracy that Followed**

During the last few years of Suharto's reign, he raised the status of Islam and Muslim leaders, but he did so while also controlling it. These factors influencing the Islamization of Indonesian society and politics include the building of more mosques, particularly in the latter decade of his rule; Suharto making the pilgrimage to Mecca very publically; raising the status of Muslim leaders through bringing them into governing leadership positions in the 1990s and channeling more patronage to devout Muslims in the form of business contracts; as well as providing better funding for Islamic schools and increasing the number of well-funded state run madrasahs. After the fall of Suharto in 1998 and the transition to democracy over the next few years, Islamization has accelerated with democracy creating opportunities for Islamic groups and parties.

Suharto's "turn toward Islam" that occurred during the early 1990s was partly a reaction to what was already occurring in society. Many observers think Suharto was using Islam as a political tool to boost his fading legitimacy as his family was viewed as more corrupt and out of touch with society. He had to contend with the rising tide of Islam and attempted to coopt it.<sup>102</sup> Regardless of why Suharto turned toward Islam, by the time he was overthrown through

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<sup>102</sup> Strict modernist Islamic groups had existed in Indonesia since the time of independence in 1945 and sought the creation of an Islamic state, but these groups had been outlawed and a nationalist form of Islam represented by Muhammad Hatta, the first Vice President and discussed with the founding of the first Islamic university, took hold. Sukarno, Indonesia's first president, balanced Islam, Communism, and the army (nationalists) during his rule. Suharto, his successor, diminished Islam, banned Communism, and ruled with the army. However, he allowed one Islamic party (PPP) to nominally run for seats in elections,

massive street protests in 1998, Islamic leaders already existed within and had ties to factions of the military, governing party called Golkar, government bureaucracies, and leading business figures. Some Muslim leaders wanted to use the chaos that ensued during the transitional period to grab power with help from factions in the army and Golkar. However, others opposed this plan, particularly the leaders of the two mass based Islamic organizations, NU and Muhammadiyah. Islam and its leaders were thus an important part of negotiating the transition to democracy that ensued after the fall of Suharto.<sup>103</sup>

Although large scale violence in the name of Islam was avoided, the transition to democracy created possibilities for a more Islamization of society and politics. With Suharto's "lid" and cooptation/control gone, Islam could play a more prominent role in governance, even within a secular state. Some power-seekers have also shown a willingness to use Islam in attempts to propel themselves to power in the young democracy.

It is unclear if this Islamization in Indonesia will continue or fade away. Understanding the causes of the Islamization and the role that schools have played in creating the gradual Islamization of society and in bringing about Suharto's need to coopt modernist Muslims as an effort to control the influence of Islam on society and politics makes it likely that the path will continue in the same direction that it is currently headed. This is a direction of gradually increasing the Islamization of society, but within democratic governance. Indonesia is becoming a model for a devoutly Muslim society that sees no conflict between being Muslim and being democratic. However, democracy in Indonesia and the policies spawned from that democracy may look different from Western democracies. Not only will Indonesia likely continue to have Islamic values infused in policy-making and public discourse, but also

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along with the nationalist party (PDI) and the governing party (Golkar). The modernist Muslims were viewed as the most threatening to the state, whereas the traditional ulama in the Nahdlatul Ulama were more closely allied with Suharto throughout most of his rule. However, toward the end, it is the modernists to whom he turned and attempted to coopt and it is their influence that has grown.

<sup>103</sup> Woodward, Kathleen (2002).

Indonesia is struggling with issues of tolerance for non-Muslims and Muslims who practice Islam in ways that modernist leaders think are heretical. The separation of Church and State does not exist in the same form it does in the United States and individual rights are truncated when they butt against the role of the government in “protecting” the Muslim majority.

A look at civic education in Islamic schools highlights these issues. Some Western observers assume civic education in Indonesia teaches the same Western values of democracy, human rights, and pluralism because these same words are used to describe civic education in Indonesia. These observers assume elements of Islamic theology and history are merely used to promote these virtues that are identical to western conceptions. However, this is an incorrect appraisal of civic education in Indonesia. Democracy, human rights, and pluralism are taught in slightly different forms based on contextualizing these ideals in an Islamic context as will be explained below.

### **Civic Education in Islamic Schools**

The civic education offered in the Islamic universities is a step forward in promoting the growth of civil society, acceptance of pluralism, and understanding of democracy. However, the main emphasis in the instruction is on democratic participation, human rights including women’s rights, and the compatibility of Islam with democracy. The pluralism aspect is addressed in the sense that the Constitution of Medina is used as evidence that Muhamad allowed non-Muslims to live in a Muslim society, but it is not addressed in the manner Westerners may assume when they hear the word pluralism. The fact that Indonesia is a Muslim society is made very clear and there is not an attempt to separate Islam from politics beyond the fact that Indonesia is not an Islamic based state required to follow Islamic law.

Instead, the curriculum in civic education courses in Indonesia emphasizes that students need to be responsible citizens and uphold the tenets in Islam that promote human rights and democratic participation. A lot of references are made to Medina from Islam’s early history

and consociational decision making where consultation and compromise within the leadership of the Muslim community is highly regarded. The important role of women in Muslim society is covered, and that "people of the book" (includes Muslims, Jews, and Christians) should be respected, as did Muhammad, for worshiping the same God and many prophets the same as Muslims.

This conceptualization of pluralism is different from Western conceptions where religion and state are separate and religion is a personal, not public matter. In Indonesia, although it is not an Islamic state, Islam is very much a part of the public domain and policy making. The civic education taught in Indonesia is therefore grounded in the assumption that as a Muslim society, Muslim values should be upheld and that these values are compatible with political participation, human rights, and some pluralism, as long as that pluralism does not threaten the Muslim nature of society. Teaching civic education in Islamic universities is therefore, on the one hand, a step forward for the promotion of democracy, but, on the other hand, it also reinforces the Muslim identity of that democracy and society and homogenizes which Muslim values and traditions are viewed as important and honored in Indonesia. The emphasis on the Muslim aspects of civil society, democracy, and human rights may, in fact, reinforce prejudices against non-Muslims since, although they were allowed to live in Medina during Muhammad's time and had a role in that society, non-Muslims were not fully equal citizens. Similarly, Muslim sects that are different from the Islam that is becoming mainstream in Indonesia (modernist) are not protected through this form of civic education.

This civic education is then replicated in the elementary and secondary schools as teachers are trained in the Islamic universities where they learned civic education. The model being taught in the state run Islamic universities is being replicated in private Muhammadiyah universities and even being used in public secular universities to some extent. The model is also being increasingly applied directly in Islamic elementary and secondary schools. The

argument is not that the Indonesian form of civic education is negative, it is just to point out that we must be honest about what it is and what to expect from it.

### **Conclusion**

This paper argues that Indonesia is experiencing Islamization of society and that this is gradually influencing government decision-making and politics. While some analysts think the Islamic influence will fade over time, it is argued here that the education system which includes numerous mainstreamed Islamic schools and religious instruction in the secular public schools will continue to push Indonesia in the direction of Islamization. While the past and new presidents, Yudhoyono and Jokowi respectively have prioritized creating greater access to and improving the quality of the secular public schools, Islamic schools present an increasingly viable option for families seeking educational pathways for their children that will help them be successful and move up the economic ladder in this rapidly rising country. Therefore, even with improvements and greater accessibility in the secular public schools, Islamic schools from the elementary to university level will likely remain integral for educating Indonesians. The government has embraced Islamic schools as can be seen through the several decisions discussed above regarding bringing them into the mainstream educational structure and with increased funding given to the Islamic universities and colleges in order to broaden the degrees offered.

While the teaching of Islam in Indonesia is not usually radical or anti-democratic, there are some Islamic schools that do preach such viewpoints. However, these are not the ones most influencing society. It is the mainstream, more moderate Islamic schools that are most influencing the Islamization of Indonesian society and ultimately its politics. The Islamization of society and governance is not necessarily bad for a country or for democracy, just as the Christianization of a country's society is not necessarily bad or good. Democracy is embraced by Indonesian Muslims and human rights are generally honored within the Indonesian Muslim

community. As discussed above, the area of concern is in the realm of tolerating pluralism within the Muslim community and of other faiths. It is also important to recognize what is occurring in Indonesia and why the situation is as it is so that we can better predict where the country is headed and how democracy may interact with Islam in other Muslim countries with similar educational and Islamic systems. Further, the importance of a country's educational system in shaping the future is highlighted in this paper.

One of the negative aspects of the Islamization of Indonesia is that it has brought with it intolerance that leads to violence and can become stifling for public discourse that negatively affects the quality of democracy. Potentially, democracy itself could be threatened, but that does not appear likely. Indonesia will probably continue being a democracy and even consolidate that democracy. However, the quality of democracy will continue to be affected by the lack of tolerance for different groups and for open discourse on topics viewed as being offensive or dangerous to the fabric of Islamic society or threatening to the promulgation of Islamic ideals. Free speech technically exists in Indonesia and the news tabloids publish all kinds of stories, but there are unspoken limits on what can be said when it comes to addressing questions concerning Islam. People are also either encouraged or required by law, depending upon the district, to adhere to Islamic precepts in their daily lives.

Thus, the Islamization experienced in Indonesia affects the nature of democracy, but the country still meets the procedural definition of democracy.<sup>104</sup> Schools are a vital link in both the Islamization of society and for understanding what civics mean in Indonesia. Schools should therefore be watched closely if one wants to understand both the past and the future of this young democratic Muslim country.

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<sup>104</sup> A procedural definition of democracy is the commonly accepted measure used by Political Scientists to determine if a country should be called democratic or not. It is a conceptual category used for regime typologies. It includes both political and civil liberties. Political liberties include holding free and fair elections, allowing most all candidates and parties to participate in elections, and elections resulting in change of office-holders depending upon who won the election. Civil liberties include free press and speech and the freedom to organize and assemble.

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## **The Comparison of Emphatic Tendencies of the Management Department Students**

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### **Abstract**

The aim of the current research is to make a comparison between the university students who are majoring at the department of sport management at Kafkas University and Atatürk University in terms of empathy level. For data collection, “Emphatic Tendency Scale”, which was developed by Dökmen (1994) and included 20 items, was administered to 463 participants in total consisting of 174 female and 289 male students. For data analysis, SPSS 16. Programme was used for statistical procedures such as frequency analysis for demographic information, independent sample t-test for the comparison of empathy level of gender and university and one-way Anova and Tukey for the comparison of empathy level in terms of age and grade. The results of the study revealed that there were statistically significant differences in gender and empathy level ( $p=,028$ ), age and empathy level ( $p=,026$ ), grade and empathy level ( $p=,039$ ).

*Keywords:* empathy, management, sports, physical education

The Comparison of Emphatic Tendencies of the Management Department Students

For management students who are expected to be future managers and entrepreneurs, being successful is connected with their empathetic tendency levels. Empathetic tendency is

the leading skill of modern leadership and communication that every successful manager should keep. Enhancing empathetic tendency and level of aforesaid students will increase success of their future attempts and activity of their management. In this point, parts of family are very important with the society in which individual is present while raising future managers. Also this situation gives academics who train them a mentorship duty increasing student's empathetic tendency level.

Indeed, in recent years, empathy concept that we encounter it in every area of life can be described as "one individual rightly understanding another person's feelings and thoughts by putting himself in his place" (Dökmen, 2004, s.157). It is thought that origin of empathy term whose importance is increasing in both psychiatry and psychology came from "empathia" term in ancient Greek (Dökmen, 2008). In contemporary sense, empathy concept approached first time by Theodor Lips in 1897 has been being examined by a lot of discipline with its different extents for duration which is more than a century (Filiz, 2009). When aforementioned centenary period is examined, characterizations had been being made for cognitive aspect of empathy until the years of 1950, in 1960s, cognitive and affective extents dominated. After 1970s, a person understanding feelings of others and transmitting his own feelings to them meaning was accepted (Ural, 2010).

Goldstein and Michaels (1985) examined empathy concept which means to have awareness in an objective way about the other's thoughts` and feelings` and the possible meanings of them and to live these feelings in a vicarious way (Budak, 2000) examined as four component like cognitive, emotional, communicational and sensory (Akcali, 1991)

The process that formed to understand the other people's thoughts, aims and necessities may be called cognitive component (Ceyhan, 1994,). According to Wied, Branje and Meeus (2005) the emotional format of empathy may be defined as to be able to feel the other person's experienced emotions and to be able to show the most suitable attitude to the other's emotional

situation. Actually the most important distinction can be represented as “to understand what your partner is feeling” with cognitive aspect and “to be able to feel the other’s feelings” with emotional aspect (Gladstein, 1983). Today, according to most researcher these two components are interacted with each other. With more clear expression, empathy is formed with both cognitive and emotional components (Chlopan et al., 1985).

Researchers specified the communicational component as, to be able to transmit the reactions of cognitive and emotional components` process to the partners. So, transmitting right is added next to understanding (Öner, 2001).As a last component, sensory component is represented as the individual`s first experience about the partner`s feelings. Essentially this is an individual`s implication containment process by looking to the partner`s face, speech, voice and facial expressions. After these are occurred the person who empathize activates emotional and cognitive components and this concludes with communicational empathy (Öner, 2001).

After giving the general information about the empathy conception, it would be well-judged to say that the managers are compelled to communicate effective with subordinates at our today`s modern companies. By this reason empathy as a talent is a need to provide this communication (Acuner, 2002). Subordinates` trust to managers is a matter for achieving the company`s aims. Gaining confidence on behalf of managers and orientation of subordinates to the companies` aims are geared to managers` emphatic abilities. Managers must empathize themselves like subordinates, must understand them, and must be able to convey the requirements. At the researches, empathy talents` close relationship is detected with conceptions like leadership, emotional intelligence, communicational talent and more. Actually the conceptions that are mentioned are some of the properties that must be presented on a good manager. So the manager candidates` empathic proclivity level must be increased to the highest grades.

Not also there are researches that represent the emphatic talents are received with birth, but also it has been observed that the empathy is a teachable process at some researches (Ural, 2010). The empathy training to the managers will cause to receive more social behaviours by enriching affection, cognitive and emotional sympathy (Halıcıoğlu, 2004).

This researches` main purpose is to compare the management students at different universities by identifying their empathic proclivity. In the light of the foregoing reasons management students` empathic proclivity levels` researches according to some variables represents the main topic of this research. Also a comparison is intended to make between management students` by taking into considerations of their gender, age, class, the choice willing and satisfaction situations about their courses.

### Findings

Table.1

*Information About the Participants According To Demographic Properties*

Gender	N	%
<b>Male</b>	289	62.4
<b>Female</b>	174	37.6
Age	N	%
<b>Btw. Ages 18-20</b>	212	45.8
<b>Btw. Ages 21-23</b>	173	37,4
<b>Btw. Ages 24-26</b>	59	12,7
<b>Age 27 and older</b>	19	4,1
University	N	%
<b>Atatürk University</b>	253	54,6
<b>Kafkas University</b>	210	45,4
Grade	N	%
<b>1.Grade</b>	139	30.1
<b>2.Grade</b>	140	30.2
<b>3.Grade</b>	102	22.0
<b>4.Grade</b>	82	17.7
<b>Total</b>	<b>463</b>	<b>100</b>

It can be seen that % 62.4 of the participants are male; %37.6 are female while %45.8 are between *18-20* ages, %37.4 are between *21-23 ages*, %12.7 are between *24-26 ages*, and

%4.1 are **27 years and older**. As for the distribution of their university, %54.6 study at **Atatürk University**, %45.4 study at **Kafkas University**. When it comes to class distribution, %30.1 of them are in their 1<sup>st</sup> year and %30.2 of them are in the 2<sup>nd</sup> year while %22 of them are in their 3<sup>rd</sup> year and %17.7 of them are in their 4<sup>th</sup> year.

Table 2

*Comparison of Participants Empathy Levels According to Gender*

Gender	N	Average	Std.Dev.	T	p
<b>Female</b>	174	72.08	9,81	2,202	,028*
<b>Male</b>	289	70.09	8,70		

**\*(p<0,05)**

When the data is analyzed, meaningful difference is seen about the empathy level according to the participants` gender.(p=,028) According to this, it is seen that female students` empathy levels are ( $\bar{x}=72.08\pm,9.81$ ), more than male students ( $\bar{x}=70.09\pm,8.70$ )

Table 3

*Comparison of the Participants` Empathy Levels According to University*

University	N	Average	Std.Dev.	T	p
<b>Kafkas</b>	210	71.22	9,66	-,274	,784
<b>Atatürk</b>	253	71.47	9,19		

**\*(p<0,05)**

When the data is analyzed, no meaningful difference is obtained about the empathy level according to the participants` university. (p=,784)

Table 4

*Comparison of the Participants` Empathy Levels According to Ages*

Age	N	Average	Std.Dev.	f	p
<b>18-20 Ages</b>	212	68,73	11,731	3,119	,026*
<b>21-23 Ages</b>	173	71,43	9,419		

<b>24-26 Ages</b>	59	70,94	8,173		
<b>27 and older</b>	19	73,89	9,140		

**\*(p<0,05)**

As it is seen on Table 4, we can see some meaningful difference about the empathy level according to the participants ages (p=,026). The multiple comparison results are given at Table-5 to show which groups are the source of difference.

Table 5

*Results of the Multiple Comparison of Participants` Empathy Levels Difference*

*According to Ages.*

Post Hoc (Tukey Test)			
Comparison		Difference Btw. Average	Meaning
<b>18-20 Ages</b>	21-23 Ages	-2,70239	,056
	24-26 Ages	-2,21802	,470
	27 and older	-5,16360	,036*
<b>21-23 Ages</b>	18-20 Ages	2,70239	,056
	24-26 Ages	,48437	,990
	27 and older	-2,46121	,762
<b>24-26 Ages</b>	18-20 Ages	2,21802	,470
	21-23 Ages	-,48437	,990
	27 and older	-2,94558	,706
<b>27 and older</b>	18-20 Ages	5,16360	,036*
	21-23 Ages	2,46121	,762
	24-26 Ages	2,94558	,706

**\*(p<0,05)**

According to the multiple comparison results, there are meaningful differences between 18-20 ages and 27 and older (p=,036). Thus, it can be put forward that the students that are **27 and older** ( $\bar{x}=73,89\pm,9.140$ ) have higher empathy level than **18-20 Ages** ( $\bar{x}=68,73\pm,11.731$ ).

Table 6

*Comparison of the Participants` Empathy Levels acc. to Class*

Class	N	Average	Std. Dev.	f	p
<b>1.class</b>	139	67,66	12,023	2,639	,039*
<b>2.class</b>	140	70,12	10,664		
<b>3.class</b>	102	69,73	10,308		

<b>4.class</b>	82	71,86	11,422		
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**\*(p<0,05)**

When the data is analyzed, we can see meaningful differences about the empathy level according to the participants grade (p=,039). The multiple comparison results are given at Table-7 to demonstrate which groups are the sources of difference.

Table 7

*Results of The Multiple Comparison of Participants` Empathy Levels Difference*

*According to Grade*

Post Hoc (Tukey Test)			
Comparison		Difference Btw. Average	Meaning
<b>1.Grade</b>	2.Grade	-2,466	,252
	3.Grade	-2,073	,483
	4.Grade	-4,203	,035*
<b>2.Grade</b>	1.Grade	2,466	,252
	3.Grade	,393	,993
	4.Grade	-1,737	,677
<b>3.Grade</b>	1.Grade	2,073	,483
	2.Grade	-,393	,993
	4.Grade	-2,130	,571
<b>4.Grade</b>	1.Grade	4,203	,035*
	2.Grade	1,737	,677
	3 Grade	2,130	,571

**\*(p<0,05)**

According to the multiple comparison results, there are meaningful differences between 4<sup>th</sup> grade and 1st grade students (p=,035), so it is seen that the students of **4<sup>th</sup> Grade** have a higher empathy level ( $\bar{x}=71,86\pm,11.422$ ) than **1<sup>st</sup> Grade** students ( $\bar{x}=67,66\pm,12.023$ ).

### Method

The purpose of this research is to compare the empathy level of the students who study Sports Management at Ataturk University and Kafkas University. The population of the study consists of students studying Sports Management at the School of Physical Education and

Sports at Atatürk University and Kafkas University while 463 students, 174 female and 289 male, make up the sample of this study.

Empathic Tendency Scale, which had 20 questions and was developed by Dokmen (1994), was used to obtain data in the research. In the scale, the minimum possible grade that can be gained from the scale is 20, and the maximum one is 100. After students were informed about the study and detailed information was given regarding the survey in the classroom, the survey was distributed and applied one by one to those who voluntarily wanted to participate in the study. Subsequently, it was collected back.

The analysis of the obtained data was done with the help of the computer statistical package software, and the level of comprehension was taken as ( $p=0.05$ ). Frequency analysis was used to determine the demographic characteristics while independent t-test was employed to find out the differences in the empathy levels of the students according to gender and university. Moreover, one-way analysis of variance (Anova) was used to determine the differences in the empathy levels of the students according to age and year at university. Finally, Tukey's test was employed to find the groups from which the differences are sourced.

### **Discussion and Conclusion**

The examined data showed no significant differences in empathy regarding the gender of the participants. ( $p=0.28$ ) According to this finding, female students ( $\bar{X}=72.08+9.81$ ) seem to have higher empathy levels than male students.

Akar (2014) found significant differences in favor of the woman regarding in his study on the analysis of empathic tendencies and narcissistic personality traits of the students. Ekinci (2009) found significant differences in favor of female prospective teachers in his study on the analysis of empathic and critical thinking tendencies. Kapıkıran (2009) investigated the empathic tendencies of candidate teachers and found significant differences in favor of men.

Satılmış (2012) found significant differences in favor of women in his study on the psychological symptoms based on some variables and empathic tendencies of the 9<sup>th</sup> grade students. Atli and Kutlu (2012) found significant differences in favor of women in his study on the empathy level of staff in the kindergartens and orphanages.

Some of the studies in literature that are on empathy levels according to gender and found significant differences in favor of women are Feshbach & Roe, 1968; Cohen & Strayer, 1996; D'Amrosio, 2009; Fittnes & Curtis, 2005; Myyry & Helkema, 2001; Whalen, 2010.

These findings also support the findings we obtained. This result may stem from the fact that female students can express their feelings more comfortably because of the style of upbringing because girls play games like playing house more from a young age on, and they have more moderate and more affectionate approach towards human relations considering the fact that they choose the mother as a role model.

Also, according to Freud, the fact that a male who gets over the oedipal period by having fewer difficulties has more identification problems in this period may cause such difference with respect to empathy between the genders (Aydin, 1996).

There are also publications regarding gender and empathy in literature that contradict our findings such as Alisinaoğlu & Köksal, 2000; Alver, 2003; Durmuşoğlu, 2001; Ercoşkun, 2005; Gönüllü, 2007; Önemlitürk, 1997; Vatansever, 2002; Kışlak & Çabukça, 2000; Köksal, 2000; Yaydırgan 2008.

Significant differences were found about the empathy levels in connection with the age of the participants. Students who are 27 and older ( $\bar{x}=73.89+9.140$ ) had a higher level of empathy compared to students aged 18-20 ( $\bar{x}=68.73+11.731$ ). This may result from the fact that with the experience they gain thanks to their age regarding the changing environment and difficulties of life, students can better understand the younger and less experienced ones.

Nelson (1985) found a significant difference between the variable of age and empathy, and concluded that the level of empathy will increase as the individual ages (Akt. Köksal, 2000).

Atli & Kutlu (2012) found out that the highest level of empathy belonged to those groups who are the oldest in the studies in whichy the empathy level of the staff working in kindergartens and orphanages. These findings support then ones we had.

Vural (2008) found out that the age variable does not cause any difference on the levels of emphatic ability of the managers. Köksal (2000) concluded in the study he conducted on university students that empathy does not differ according to age. This finding contrasts with the findings we got.

Significant differences were spotted regarding the empathy level according to the classes of the participants. According to that finding, 4<sup>th</sup> grade students ( $\bar{x}=71.86+11.422$ ) have a higher empathy level than 1<sup>st</sup> grade students ( $\bar{x}=67.66+12.023$ ). These findings are consistent with the findings we had in the empathy level according to age. Considering the fact that as the individual ages, the class level also increases, we can conclude that students from upper levels have a more improved empathy level that those from lower grades. Bryant (1982) concluded that 7<sup>th</sup> grade students have a higher empathy level than 4<sup>th</sup> grade students. (Akar, 2014) investigated empathic tendencies of students based on age and concluded that 4<sup>th</sup> grade students had a higher level of empathy than 1<sup>st</sup> year students.

Ekinci (2009) pointed out that the empathic tendencies of 4<sup>th</sup> grade students were significantly higher than 1<sup>st</sup> grade ones. These findings also support the findings we reached. Rehber (2007) did not find any significant differences between their Empathic Tendency Scale scores in terms of their grade level in his research on elementary school students. Yasar (2008) and Hasankahyaoglu (2008) found no significant relationship between the level of empathy

and grade level in the study carried out on college students. These findings are inconsistent with the findings we obtained.

Considering these findings, young people who will have an important place in the future society and will be the parents of next generation should be taught that the empathy is an essential element of being human and that it is an indispensable concept of personal and social development. The young who are aware of this will pass on the tradition on next generations thereby contributing to the development of a sensitive generation.

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## **Shifting America: Why Cultural Competence Matters**

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Health disparities and healthcare quality are equally critical issues especially among racial and ethnic minorities in the United States. According to the Census Bureau projections report (2015), total population will increase from 319 million to 417 million in 2060 with the percentage of minority population increasing from 36 to 56. Thus, the rapidly changing demographics of the US population and the impacts of health disparities on the healthcare system which include reduced work productivity, lost economic opportunity, and increased costs (Brusin, 2012) require culturally diverse and competent health services in order to improve quality of care. The total expenditure during 2003-2006 was \$749 billion while 30.6% of it were excess costs due to inequities and eliminating disparities for minorities would have reduced direct medical expenditures by \$229.4 billion (LaVeist, Gaskin & Richard;2009).

According to the Agency for Healthcare Research and Quality report (2011), the quality of care that individuals with low income and people of color receive is poor. People with limited English proficiency are less likely to seek medical help compared to proficient people. Also, the satisfaction levels of patients vary by gender, education levels, race and language (Kaiser Family Foundation Report, 2012). As people's behaviors are shaped by sets of cultural values and norms, their definition of health, illness and health behaviors are also influenced by their culture (Diallo & McGrath, 2013). This creates challenges for healthcare providers when

caring for a culturally and racially diverse population. In addition to the challenges of cultural differences, language barriers, health literacy gap, cultural differences in communication styles make it even more difficult for providers to treat their patients (HRET report, 2013). The need to be aware of and responsive to patients' cultural backgrounds led to the emergence of the cultural competence concept. Although cultural and language barriers are considered as main contributing factors to the problem of health disparities, the report of Institute of Medicine (2002) on racial and ethnic disparities in healthcare concludes that bias, prejudice and stereotyping by healthcare providers also contribute to the problem. As it can be seen, this is not a one dimensional problem requiring only one simple solution. Culture is a complex and dynamic concept that involves several factors such as age, gender, socioeconomic status, etc. and therefore, cultural competence is and should be an ongoing process to understand and interact with patients efficiently (Diallo, McGrath, 2013; Campinha-Bacote, 2002). Only this approach may have the desired, positive effect on the quality of healthcare and healthcare disparities.

### **Definitions of Cultural Competence**

Unfortunately there is no one definition of cultural competence. The reason for multiple definitions in state and federal legislations, in healthcare organizations and academic setting is because of different perspectives, needs and interest due to multiple disciplines that are involved (Goode et al., 2006).

The term culture refers to integrated patterns of human behavior including knowledge, experience, language, gender, age, religion, values, attitudes, lifestyle, social class, ethnicity, health status and so forth (Stein, 2009; Anderson et al., 2003; Loftin, 2013). Although there are several definitions of cultural competence in literature, the common concept that comes across is the focus on patients' cultural background. According to Loftin (2013), cultural competence is "having the knowledge, understanding, and skills about a diverse cultural group that allows

the healthcare provider to provide acceptable cultural care...” Another definition describes cultural competency as being capable of functioning effectively within the context of patients’ cultural beliefs, behaviors and needs (Anderson et. al, 2003). The inconsistency in definitions and understanding of cultural competence in healthcare makes it difficult to implement frameworks. The terms cultural competence, cross-cultural, trans-cultural care, cultural security, cultural safety, cultural humility are used interchangeably (Grant & Parry, 2013).

Being culturally competent is often misinterpreted as knowing everything pertaining to a particular culture. However, healthcare providers do not need to speak the language or know everything about a particular culture. They need to be open-minded, avoid assumptions and be capable of gathering facts in order to make decisions while caring for patients (Dettlaff & Fong, 2011). Everyone is subject to stereotyping but having an internal capacity to recognize assumptions can help overcome any tendency towards generalization or stereotyping different groups.

### **Cultural Competency Interventions**

The complexity of the issue with several contributing factors suggests that there is not one final solution to solve healthcare disparities and low quality of care. The American Hospital Association (2013) outlined the steps for healthcare organizations to becoming culturally competent. These steps include gathering and analyzing data for the local community, communicating the results of the analysis and the determined priorities to the community, educating staff, and aligning programming and resources to meet community needs.

Although there is not one standardized cultural competency model to implement in healthcare settings, the Office of Minority Health undertook the project to establish guidelines for healthcare organization in terms of cultural competency in the late 1990s. The need for culturally competent healthcare settings resulted in the release of the National Standards for Culturally and Linguistically Appropriate Services in Healthcare (CLAS) by the Office of

Minority Health (OMH) in 2000 for healthcare organizations to meet and led many intervention strategies to be designed and implemented in the organizations (Table 1). These standards are organized in three categories which are culturally-competent care, language-access services, and organizational supports. The standards are inclusive of all cultures and aim to reduce health disparities among ethnic and racial groups and improve health quality.

Betancourt (2002) identified three components for cultural competency; organizational, systemic, and clinical. Organizational competence focuses on diversity in leadership roles and healthcare workforce. Systemic competence focuses on eliminating institutional barriers such as language barriers and improving monitoring and quality of healthcare. Clinical competence focuses on raising awareness of cultural issues with the goal of providing quality care to all patients by the healthcare workforce from top to bottom. This can be achieved by cross-cultural training focusing on knowledge and skills (Betancourt, 2002; Coronado, 2013).

As previously mentioned, linguistic competence is a separate but important goal for healthcare organizations to accomplish. Some approaches to reach a linguistically competent state include having a diverse staff fluent in multiple languages including sign language, interpretation and translation services at no cost to patients, tele-health technologies, educational materials printed in multiple languages and for low literacy individuals (Stein, 2009; Goode et al., 2006; Brusin, 2012).

### **Cultural competency in practice**

Culturally competent care can be seen as patient-centered care and therefore it involves patient circumstances, patient values and preferences. Patient-centered care treats patients based upon their illness experiences even if they are from the same culture with same diagnosis (Engebretson et al., 2008). Research by Schouten & Meeuwesen (2006) identified five key predictors of culture-related communication problems: (1) cultural differences in definitions of

health and illness, (2) differences in cultural values, (3) cultural differences in patients' preferences for doctor-patient relationships, (4) racism/perceptual biases, (5) linguistic barriers.

Cultural background influences the understanding of health and illness, expressing pain and discomfort and help seeking behavior. For instance, the concepts of *familismo*, *machismo*, and *fatalism* unique to Hispanic culture influence patients' behavior during treatment or doctor visits. The concept of *familismo* refers to the involvement of family members in medical decision making while *machismo* gives male family members power over medical decisions regarding female members of the family. So, healthcare providers should keep this in mind while interacting with Hispanic patient and be sensitive to their traditions (Brusin, 2012).

Similarly, cultural differences can be observed regarding expressing pain and discomfort. In Traditional Chinese culture, expressing pain is considered a sign of weakness which can lead to undesired and unexpected outcomes. In other cultures such as Egyptian culture, women can be more open about pain while men are not as expressive as women due to their protector 'role' in the family and/or the belief that men are strong and they can't show weakness.

There are studies that link linguistic services to improved intermediate clinical outcomes. A study by Karliner et al. (2007) found that providing professional medical interpreters for patients with limited English proficiency (LEP) resulted in a positive impact on intermediate clinical outcomes, communication, and patient satisfaction. Also, removing language barriers has positive effects for both LEP patients and healthcare organizations. When there is no language barrier, the risk of patients experiencing medical errors or adverse events is reduced. Therefore, malpractice claims for healthcare organizations are reduced (Shannon, 2010). Brach & Fraser (2000) presented a conceptual framework for interpreter services. Providing interpreter services for patients positively affects the outcomes in healthcare and reduces health disparities. Building trust between patients and their physicians is important and

meeting patients cultural/linguistic needs would have a positive effect on relationship building. Boulware et al. (2003) suggested that the trust between the patient and the physician is one third less likely in African-Americans compared to whites.

As previously mentioned, the prejudice and stereotyping that healthcare providers have contributes to the problem of health disparities. Known stereotypes may influence physicians' decisions on medical treatments. For example, according to a study by Schulman et al. (1999), physicians are less likely to refer non-white patients, especially African American women, for cardiac catheterization although their predisposition for coronary disease, clinical characteristics, symptoms are evaluated by the physician. This study shows a link between decision on medical treatment and gender and race.

### **Discussion and Conclusion**

Healthcare systems must understand the benefits of cultural competence, understand the background of the community and the population they serve and the effects on healthcare so that they can implement models to achieve the goal of providing culturally competent care.

The healthcare disparities problem is both a problem of access to healthcare by minority groups and their experience when they have access to it. This problem led the federal government to act on the issue by establishing guidelines and interventions. The concept of cultural competency needs to be addressed not only at the individual level but also on an organizational level in the healthcare setting, aligned with the CLAS standards. The CLAS standards serve as a guideline for healthcare providers and it's required for hospitals that receive federal funding. However, regardless of funding status, every healthcare organization should assess the needs of their community and then design and implement interventions addressing cultural/linguistic issues (Chin et al., 2012).

Incorporating the concept of cultural competence in daily activities such as interacting with patients and making decisions on treatment has a potential to increase trust, adherence to

treatment plans, patient satisfaction and quality of care (Brusin, 2012). Culturally competent healthcare organizations have improved patient outcomes, increased patient satisfaction and participation from the local community (HRET Report, 2013). However, the inconsistency in definitions and misinterpretations of the concept make it difficult to implement cultural competency models and using it in practice for healthcare professionals. Therefore, there is a need for policies with clearly defined concept and instructions (Parry & Guerin, 2013). Additionally, improved cultural competence reduces the risk of adverse events and malpractice claims. A study shows that patients who face language barriers are more likely to experience medical errors than patients without these barriers (Cohen et al., 2005). The role of culture in disparities and the impact of cultural competency on improved health outcomes are underestimated and there is lack of research on interventions and their effectiveness in practice. There is a need for comparative studies evaluating interventions thoroughly so that a standardized model can be developed (Kagawa-Singer, 2012; Anderson et al., 2003). Cultural competency lies in the core of today's and future's healthcare with the changing demographics. Developing a culturally competent healthcare system has the potential to improve health outcomes, patient satisfaction, access to healthcare and quality of healthcare while reducing healthcare disparities, medical errors and legal claims.

Table 1 *National Standards for Culturally and Linguistically Appropriate Services*

**Principal Standard**

1) Provide effective, equitable, understandable and respectful quality care and services that are responsive to diverse cultural health beliefs and practices, preferred languages, health literacy and other communication needs.

### **Governance, Leadership and Workforce**

2) Advance and sustain organizational governance and leadership that promotes CLAS and health equity through policy, practices and allocated resources.

3) Recruit, promote and support a culturally and linguistically diverse governance, leadership and workforce that are responsive to the population in the service area.

4) Educate and train governance, leadership and workforce in culturally and linguistically appropriate policies and practices on an ongoing basis.

#### Communication and Language Assistance

5) Offer language assistance to individuals who have limited English proficiency and/or other communication needs, at no cost to them, to facilitate timely access to all health care and services.

6) Inform all individuals of the availability of language assistance services clearly and in their preferred language, verbally and in writing.

7) Ensure the competence of individuals providing language assistance, recognizing that the use of untrained individuals and/or minors as interpreters should be avoided.

8) Provide easy-to-understand print and multimedia materials and signage in the languages commonly used by the populations in the service area.

### **Engagement, Continuous Improvement and Accountability**

9) Establish culturally and linguistically appropriate goals, policies and management accountability, and infuse them throughout the organizations' planning and operations.

**10)** Conduct ongoing assessments of the organization's CLAS-related activities and integrate CLAS-related measures into assessment measurement and continuous quality improvement activities.

**11)** Collect and maintain accurate and reliable demographic data to monitor and evaluate the impact of CLAS on health equity and outcomes and to inform service delivery.

**12)** Conduct regular assessments of community health assets and needs and use the results to plan and implement services that respond to the cultural and linguistic diversity of populations in the service area.

**13)** Partner with the community to design, implement and evaluate policies, practices and services to ensure cultural and linguistic appropriateness.

**14)** Create conflict- and grievance-resolution processes that are culturally and linguistically appropriate to identify, prevent and resolve conflicts or complaints.

**15)** Communicate the organization's progress in implementing and sustaining CLAS to all stakeholders, constituents and the general public.

Source: <http://minorityhealth.hhs.gov/omh/browse.aspx?lvl=2&lvlid=53>

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## **Iphestos Plan of Greek Cypriot Government to Exterminate Turkish Cypriots**

**During the Year 1974**

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### **Abstract**

The notorious Greek guerrilla organization E.O.K.A. (Ethniki Organosis Kypriou Agoniston - The National Organization of Cypriot Fighters) was set up by Colonel Georgios Grivas in the year 1954 and started the terror campaign against British Colonial regime on April 1, 1955 and to local Turkish Cypriots on 1957 with the intention of making the island purely Greek. The majority of the Greek Cypriots have no idea of the intentions and the plans of the Greek Cypriot Government to abolish the excessive rights of Turkish Cypriots given to them by the 1960 Constitution of Republic of Cyprus and clean the island from the Turkish Cypriots during the dark years 1963-1974.

Initially, the Akritas Plan was drawn up by Polycarpos Georkadjis (Constandinos, 2009:p.34), Tassos Papadopoulos and Glafkos Klerides on or around 1962. The plan in detail sets out the main headlines and steps to exterminate the Turkish Cypriots in one night by an organized and synchronized military attack on the intentions of achieving Enosis (annexation of the island of Cyprus to Greek Cypriot's mainland Greece).

This notorious plan was first publicly published by the Pro-Grivas Greek Cypriot newspaper Patris on April 21, 1966. Akritas Plan was put in order on the night of December 21, 1963 and lasted for almost four years until November 15, 1967 without much success due to the stubborn resistance of the Turkish Cypriots.

The attack of the Greek National Guards (Ethniki Fruro) totaling around 5,000 on November 15, 1967 under the direct command of General Georgios Grivas, reinforced with the special commando troop from mainland Greece, was the last of his kind during the Makarios III reign. Although General Grivas managed with his outnumbered military power to overran the two small Turkish villages namely Geçitkale (Kofunou) and Boğaziçi (Agios Theodoros) situated on the Larnaca, Limassol and Nicosia junction, which did result in the death of 27 unarmed Turkish Cypriot civilians people and Turkish Cypriot resistance fighters.

The civilians were exterminated by soaking them alive to petrol first and setting on fire later. The Greek Government was forced by the ultimatum of the Turkish Government to recall the Greek Division deployed on the island and General Grivas back to Athens, immediately after this inhuman massacre.

The will be unifying with Greece never faded away and on July 15, 1974 the military junta in Greece organized a coup against President Makarios III with the support of E.O.K.A. B and appointed Nicos Sampson as the President of the self proclaimed "Cyprus Hellenic Republic" on July 17. Turkey intervened according to the addendum I, Part IV of the Republic of Cyprus Constitution as one of the three guarantor states.

The dossier with the number 216/5/296 and title "Internal Security" containing the Iphestos Plan was found in one of the military camps of Greek Cypriot National Guard. The plan was drafted on March 7, 1974 by the 3rd High Military Tactical Command and signed by its commander Colonel Mikhael Georgitses. The plan aims to clean completely the island from the Turkish Cypriots.

*Keywords:* Iphestos plan, Cyprus, exterminate, Greek Cypriot, Turkish Cypriot

## Iphestos Plan of Greek Cypriot Government to Exterminate Turkish Cypriots During the Year 1974

On June 13, 1948 Makarios III returned to Cyprus upon he was elected as the Bishop of Kition while he was in Boston (Anagnostopoulou, 2014).

After giving his holy oath in the year 1950 as the Archbishop of the Greek Cypriot Orthodox Church, he stated "*I take the holy oath that I shall work for the birth of our national freedom and shall never waver from the birth of our policy of annexing Cyprus the mother Greece*" (Sonyel, 1984).

Actually this oath of Makarios III, by the time shaped up to be the core of evil and the hotbed of the Cyprus's hapless destiny and on the continuing years brought in tears, blood, unrest and all kinds of troubles to both Greek Cypriots and Turkish Cypriots of the island.

It even forced mentally the then Archbishop and President Makarios III, to form evil thoughts of exterminating the Turkish Cypriots by any method, which actually never matched to a high ranking ecclesiastic.

His sole aim was to push down the political statute of Turkish Cypriots from equal partners of Republic of Cyprus to a mere minority with special rights forming the concept of "protected minority".

On this road Makarios III was determined to abrogate the 1960 Constitution of the Republic of Cyprus together with the Treaties and the addendums right after the declaration of independence on August 16, 1960 in order to make up the Greek Cypriot domination of the Republic of Cyprus.

Thirteen items in the constitution of the Republic of Cyprus gave rights and power to Turkish Cypriots to govern the island together with Greek Cypriots on equal political bases, although the ratio of population was 20 to 80 percent.

### **Amendment Venture of the Constitution**

President Makarios III sent an official letter to Vice President Dr. Fazıl Küçük, requesting amendments in these 13 items of the constitution of the Republic of Cyprus. His reasoning base for the amendments was to “remove obstacles to the smooth functioning and development of the state.”

Makarios III did not at all discussed this matter with the legitimate partner of the Republic, the Turkish Cypriots and acted unilaterally and preferred to send an official letter to the guarantors and to the Vice President Dr. Fazıl Küçük, with the below attached note: *"difficulties in the smooth functioning of the State and impede the development of the country. In this respect I transmit herewith for your information a Memorandum setting out the immediate measures, which I consider necessary, to meet the situation. I have today conveyed the attached memorandum to the Vice-President, Dr. Kutchuk, inviting him to talks with a view to resolving the various difficulties set out in the Memorandum. I have arrived at the decision to take this initiative in my earnest desire to remove certain causes of anomaly and friction between Greeks and Turks who prevent them from co-operating, to this grave detriment of the country. It is hoped that the Turkish Cypriots, after carefully studying this Memorandum, will agree that my proposals are both realistic and constructive."* (Kyle, 1983).

Makarios III acted utterly and tenaciously because of misunderstanding and misevaluating the body language and insinuation of Sir Arthur Clark, the British High Commissioner (Ambassador) in Cyprus (Kyle, 1983).

Below is the complete "Set of 13 Amendments" sent to the prime ministers of the three guarantors states, Turkey England and Greece on November 29, 1923, as edited by Makarios III (Sözen, 2002).

Suggested measures for the removal of causes of friction between the two communities;

1. The right of veto of the President and the Vice-President of the Republic to be abolished.
2. The Vice-President of the Republic to deputise for or replace the President of the Republic in case of his temporary absence or incapacity to perform his duties. In consequence, therefore, all the constitutional provisions in respect of joint action by the President and the Vice-President of the Republic to be modified accordingly.
3. The Greek President of the House of Representatives and its Turkish Vice-President to be elected by the House as a whole and not as at present the President by the Greek Members of the House and the Vice-President by the Turkish Members of the House.
4. The Vice-President of the House of Representatives to deputise for or replace the President of the House in case of his temporary absence or incapacity to perform his duties.
5. The constitutional provisions regarding separate majority for enactment of Laws by the House of Representatives to be abolished.
6. The constitutional provision regarding the establishment of separate Municipalities in the five main towns to be abolished. Provision should be made so that: (a) The Municipal Council in each of the aforesaid five towns shall consist of Greek and Turkish Councilors in proportion to the number

of the Greek and Turkish inhabitants of such town by whom they shall be elected respectively. (b) In the Budget of each of such aforesaid towns, after deducting any expenditure required for common services, a percentage of the balance proportionate to the number of the Turkish inhabitants of such town shall be earmarked and disposed of in accordance with the wishes of the Turkish Councilors.

7. The constitutional provision regarding Courts consisting of Greek Judges to try Greeks and of Turkish Judges to try Turks and of mixed Courts consisting of Greek and Turkish Judges to try cases where the litigants are Greeks and Turks to be abolished.
8. The division of the Security Forces into Police and Gendarmerie to be abolished, (Provision to be made in case the Head of the Police is a Greek the Deputy Head to be a Turk and vice versa).
9. The numerical strength of the Security Forces and of the Army to be determined by Law and not by agreement between the President and the Vice-President of the Republic.
10. The proportion of the participation of Greek and Turkish Cypriots in the composition of the Public Service and of the Forces of the Republic, i.e. the Police and the Army, to be modified in proportion to the ratio of the population of Greek and Turkish Cypriots.
11. The number of the members of the Public Service Commission to be reduced from ten to either five or seven.
12. All the decisions of the Public Service Commission to be taken by simple majority. If there is an allegation of discrimination on the unanimous request either of the Greek or of the Turkish members of the Commission,

its Chairman to be bound to refer the matter to the Supreme Constitutional Court.

13. The Greek Communal Chamber to be abolished".

The requested amendments were all for the favor of the Greek Community, to enable them to govern the Republic of Cyprus without any Turkish Cypriot interference.

**Idea of Suppressing the Insurrectionists**

In case of an opposition from the Turkish Cypriots and/or guarantor Turkey Makarios III was quite determined to suppress the insurrectionists by brutal force and requested from his companions to draw up an extermination plan accordingly.

The basic reason to draw up the initial extermination plan, namely the Akritas Plan, was to create an underground military power to quell any Turkish Cypriot resistance with utmost and oppressive force in the shortest time possible in order not to give any opportunity to Turkey to intervene.

The initial extermination plan, prior to Ipheostos, was the Akritas plan and was drawn up by the triumvirate of Makarios III, Mr. Polycarpos Yorgadjis, the then Minister of Interior, Mr. Glafkos Klerides, the then President of the House of Representatives and Mr. Tassos Papadopoulos, the then Minister of Labour, on or around 1962, with the help of Greek Officers serving in the Greek Regiment, ELDIK, deployed in Cyprus as per the Treaty of Alliance of the 1960 Constitution of Republic of Cyprus (Patris, 1966).

According to Richard A. Patrick, the then-president Makarios III, entrusted his above mentioned companions to prepare the Akritas Plan and endorsed it after it was completed (Patrick, 1976).

The first commander of Cypriot National Guard (Ethniki Fruro - Rum Milli Muhafız Ordusu) which was established on June 1964 (Carter, 2008), Lt. General George Karayiannis, clearly stated in the part 1 of his article, published in Ethnikos Kiryx (Karayiannis,1965) that Makarios III was already be determined to establish a Greek Cypriot armed force to stand behind him on his efforts to amend the 1960 Constitution of the Republic of Cyprus.

On the part 3 of his article, Lt. General George Karayiannis stated that President Makarios III ordered the implementation of the plan prepared by his triumvirate on the first possible day, upon completion of all the preparations and taking all the necessary precautions (Karayiannis,1965).

According to the records of a Greek bureaucrat who was in command of Cyprus Affairs at the Ministry of Foreign Affairs, Athens, Greece during early sixties and served as the Consul General of Greece in Cyprus during late fifties, Makarios III already started to devise a plan as early as 1962 to form an armed power constituted only by the Greeks and a cleverly planned truculence, to enable him to amend the 1960 Constitution of the Republic of Cyprus. In the light of this sentiment the collective studies started, during the very first days of January 1963 (Vlachos, 1980).

After the assaults of Greek Cypriots started on the night of December 21, 1963 to Turkish Cypriots, President III sent a close official letter to Prime Minister of Greece George Papandreu, dated March 1, 1964 stating that his zeal is to abrogate the 1959 Zürich and London Agreements to open the way for the self determination of the Greek Cypriots leading to annexation with motherland Greece (Vlachos, 1980).

In his another close official letter to Prime Minister of Greece George Papandreu, dated February 21, 1965, Makarios III wrote "*Enosis was what we had as our sole watchword in all our struggles. Enosis was what we had as our aim when,*

*under pressure of events and in order not to encompass the Motherland in hazardous ventures, we were compelled to accept, on the insistent advice of the Greek Government, temporary solutions.*" (Vlachos, 1980). The definition "temporary solutions" in this letter actually refers to the notorious "Akritas Plan".

### **The Unveil of Akritas Plan**

The notorious "Akritas plan" was unveiled by the Greek Cypriot daily newspaper *Patris* in full on the first page of April 21, 1966 edition (*Patris*, 1966: p.1). Glafkos Klerides, member of the triumvirate, the then President of the House of Representatives and later became the 4th President of the Greek Republic of Cyprus, confirmed the existence and authenticity of the Akritas plan to a Canadian scholar in 1971 (Patrick, 1976). The full text of Akritas Plan publicised widely by the various sources and media (Denktaş, 1987) and also recorded by the United Nations (UN, 1978). The Greek Cypriot Government or president Makarios III or any other Greek Cypriot official never denied officially the existence of such a plan named "Akritas".

On April 18, 1987, Mr. Miltiades Christodoulou, the then Government Spokesman of the Greek Cypriot Administration and one of the most trusted aide of Makarios III, confirmed the existence and authenticity of the Akritas Plan in an interview published in a Greek Cypriot daily newspaper *Agon*. The Annex of the Letter dated 12 May 1998 from the Charge' d'affaires a.i. of the Permanent Mission of Turkey, Ambassador Tuluy Tanç to the United Nations addressed to the Secretary-General clearly states officially the intentions of Makarios III and the employment of Akritas Plan, with the following words "*On 21 December 1963, the Greek Cypriots, acting on the basis of a well prepared plan (the full text of the Akritas Plan has been published as United Nations document A/33/115-S/12722 of 30 May 1978) attacked the Turkish Cypriots all over the island. The Greek Cypriots destroyed the bi-national*

*partnership Republic of Cyprus created in 1960 under the London and Zurich Agreements, and, usurping the powers of the State, tried to convert Cyprus, unconstitutionally, into a Greek Cypriot State and to achieve union with Greece (Enosis).*" (Tuluy, 1998).

### **Implementation of Akritas Plan**

The government of Turkey and the Vice President Dr. Fazıl Küçük turned down the amendment proposal of Makarios III right away, without any exchange of documents.

After the presentation of the amendments and the rejection of the Turkish Cypriots, the relations between the two communities became quite tense and burst out on the night of December 21, 1963, after an intentional and planned street brawl between local Turkish Cypriots and armed Greek policeman.

Immediately after the incident, the Greek Cypriot paramilitary attacks started towards the Turkish Cypriots living in the Tahtakala region of Nicosia and in Larnaca.

The Turkish Cypriots, after severe inter-communal armed clashes, began moving from isolated rural areas and mixed villages into safe enclaves to save their lives, leaving behind all of their wealth, property, houses, memories and graveyards. In just a short time a substantial portion of the island's Turkish Cypriot population were crowded into the suburbs of the Turkish quarter of Lefkoşa in tents and hastily constructed shacks. Slum conditions resulted from lack of money. All necessities and necessary utilities were sent by the Red Crescent from mainland Turkey. The Greek Cypriot government took no notice of these harsh conditions or the refugees. Many Turkish Cypriots who had stayed in their homes in safe Turkish areas, shared their land, houses, food and water for the security and welfare of the refugees.

Twenty four Turkish Cypriot villages had to be abandoned and 20 thousand refugees managed to escape from the massacre and took refuge in Hamitköy (Hamid Mandres), Lefkoşa and Boghaz, Kyrenia.

Spurred by the screams and non-stop calls for help of the Turkish Cypriots, Turkey decided to step in and do something.

Archbishop Makarios III had not taken into consideration the protests and warnings coming from Turkey. He believed that Turkey would not attempt a military intervention and but would protest only. Accordingly, the assaults on Turkish Cypriots increased day by day and got bloodier.

The actual partition of the island took place in the year 1964 after the attacks of the Greek Cypriot assaults, as per the Akritas Plan.

The arms of the Ethniki Froua, the Cypriot National Guard, were obtained from the Cyprus Army's Greek regiment, deployed by Greece according to the 1960 agreements and treaties. The commander general of the National Guard and high-ranking officers were sent from Greece. All Turkish Cypriot privates, sergeants and officers in the Cyprus Army were disarmed and detained on the eve of Dec. 21, 1963.

Ignoring the three guarantors - Turkey, Britain and Greece - and the legality of the 1960 Agreements and Treaties of the Republic of Cyprus, Archbishop Makarios III, the then president of the government of Cyprus, declared the existing 1960 Constitution "null and void" on Jan. 1, 1964, only eight days after the first organized assaults on Turkish Cypriots.

His aim was to use his illegal assaults on Turkish Cypriots in a way to pave the way to enosis (the reunification of Greece and Cyprus), through inter-communal clashes which Turkish Cypriots would be blamed, accused of rebelling against the government of Cyprus.

## **Joint Venture of Greek Cypriots and Greece**

While Makarios III was quite busy with organizing assaults on Turkish Cypriots and giving orders to his comrades to draw an effective extermination plan which would lead to enosis in the long run, in Greece George Papandreou was in power and busy with detailing the "Greek National Center," aiming to give full support to Makarios III on his so-called "struggle for enosis."

The aim of the "Greek National Center" was to defend the Greek island of Cyprus if Turkey dared to attack. Papandreou took the responsibility and the initiative.

Accordingly, the generals in the National Army of Greece drafted a plan to sneak in troops and arms to Cyprus. As if the Greek Cypriot government had no idea at all of this clandestine operation, shipments of arms and troops in huge amounts lasted for four months.

The first wave of Greek troops and officers stepped onto the soil of Cyprus on the night of April 17, 1964. By the end of July 1964, around 20,000 soldiers and officers with ammunition and arms enough for an army of 40,000 successfully infiltrated the island, without the knowledge of the UN peace keeping force and guarantors of the island except Greece, who was the organizer.

ASDAK (Cyprus Supreme Defense Military Command) and EMEK (Special Mixed Staff Cyprus) were established immediately in 1963. EMEK transformed into GEEF (General Staff of the Cyprus National Guard) in 1964 (National Guard, 2014: History).

Greek Cypriot newspaper To Vima, on Feb. 7, 1999, printed the disclosures of Gen. George Karousos, which gives official and reliable information on this clandestine transfer of troops from Greece to Cyprus. So does Kathimerini, another local Greek Cypriot newspaper, in its issue dated February 2002.

Andreas Papandreou, the then Prime Minister of Greece, clearly details this ingenious and unlawful "sneak in" operation in his memoirs, titled "Democracy at Gunpoint."

The Greek education system also lists this clandestine transfer and places it on April 17, 1964. It names the event the "The first Greek soldiers Division of Cyprus arriving secretly in Cyprus" (Ad Calendas, 2003, 2014)

In June 1964 the National Assembly unanimously accepted Act No. 20, on the establishment of the Cypriot National Guard, which also allowed employment of Greek officers from mainland Greece to train the Cypriot National Guard and to serve in the Cypriot armed forces as well. (Carter, 2008)

### **The Attitude of USA and UK Officials**

The American Under-Secretary of State, George Ball, said in his own memoirs, that the central interest of the Greek Cypriot leader, Makarios III, "*was to block off Turkish intervention so that he, and his Greek Cypriots could go on happily massacring Turkish Cypriots. Obviously, we would never permit that.*" (Ball, 1982).

The fact is, other than Turkey neither the US, the UK, the UN, nor anyone, ever took effective action to prevent Turkish Cypriots from the massacre.

The former British Prime Minister, Sir Alec Douglas-Home said in his memoirs "*he had been convinced that if the Greek Cypriots could not treat the Turkish Cypriots as human beings, they were inviting the invasion and partition of the island*" (Home, 1976: p.242).

### **Decision of Turkey to Intervene**

In June 1964, İsmet İnönü, then-prime minister of Turkey, decided on a military intervention. US President Lyndon Johnson barely managed to stop the Turkish army, which had already sailed from the port of Mersin destined for Cyprus.

The diplomatic note sent by Johnson to İnönü demanding a stop to the expedition deeply damaged Turkish-American relations, which had been improving since 1950. But this brutal note put a stop to any improvements. Suddenly anti-American sentiment fell into the hearts of the Turkish people and numerous protest rallies were held in Turkey's major cities.

The Turkish Cypriot administration decided to establish a Turkish-controlled area on the northern shores of the island to bring in food, medicine, clothing, arms and other supplies from Turkey over the sea and officially asked for help from the Turkish government, which eventually volunteered its assistance.

The Turkish government, highly disappointed by Johnson's diplomatic note, decided to send Turkish Cypriot students pursuing undergraduate studies in Turkey to a beachhead at Erenköy (Kokkina) on the northern shore of the island, northwest of Güzelyurt Bay (Morfou Bay), rather than sending in professional Turkish troops.

The transportation of these students in groups of not more than 12, by small fishing boats, from Anamur to Erenköy, began on March 30, 1964 and ended after countless trips in early August. A total of 322 students were carried to the beachhead.

### **Return of Grivas to Cyprus**

Meanwhile, Georgios Grivas used the popularity he gained in era of the National Organization of Cypriot Fighters to coerce Makarios III and the Greek government into allowing him to return to Cyprus. He returned to Cyprus in June 1964 to take over the command of the Greek Cypriot forces organized under the National Guard as well as the Greek military division sent to Cyprus by the Greek government of George Papandreou to assist in the extermination of the Turkish Cypriots.

Grivas rapidly took over the Greek Cypriot National Guard and restored discipline. Noting that possession of the beachhead at Erenköy was enabling the

Turkish Cypriots to bring in food, medicine, clothing, arms and students from Turkey, he decided to organize a heavy attack on Erenköy with an infantry of 5,000 on Aug. 6, 1964. His plan was to reach the shore within two hours and exterminate the Turkish Cypriot beachhead.

He felt so assured of victory that days before he invited civilians to the area for a joyful spectacle with a public invitation in the newspapers.

The result was a disaster. On Aug. 8, the mighty Greek Cypriot force had to retreat with countless wounded and dead, leaving behind most of their armory.

This degrading retreat forced Gen. Georgio Grivas to abandon his dreams of taking the Erenköy beachhead from the Turkish Cypriots. The UN called for a cease-fire and it was agreed to by both parties.

### **Confessions of Makarios III**

The various statements made by Archbishop Makarios III in 1964 clearly explain the cause of the conflict on the island and his dream of taking a seat in history as the "architect of enosis" (or union with mainland Greece).

On March 25, 1964, in a statement to German daily *Sudetendeutsche Zeitung*, he said, "*With regard to the solution of the Cyprus problem, the union of Cyprus with Greece is the wish of the Cypriot people and myself.*"

On Aug. 21, 1964 he declared to the *Mahi* newspaper: "*My ambition is to accomplish the union of Cyprus with Greece. ... I will unite integrally with Greece and then the borders of Greece will extend to the shores of North Africa.*"

On Sept. 20, 1964 he told *The Washington Post*: "*I want something higher than being a temporary president of Cyprus. My ambition is to connect my name with history as the architect of enosis.*"

The basics of the "Megali Idea," or Great Idea, can easily be seen in his statements. It was only three years before that he had sworn officially and publicly to keep and cherish "*the independence of Cyprus.*" But his real dream was to bury the Republic of Cyprus and realize Greece's dream of enosis.

Speaking at the Paralimni Church on Sept. 3, 1964, Makarios III said: "*What is our desire? We have proclaimed it many times: Our union with the motherland, eternal Greece. What will our reply be if such a solution is made difficult and if some think compromises are required or that something should be given in return? 'No,' is the reply, and the struggle will continue until full justification.*"

The attacks in the year 1963 and 1964 were a combined effort of secret Greek Cypriot armies, the Greek Cypriot police and mainland Greek officers. Greece always took the side of Makarios III, politically and militarily.

The onslaught on the Turkish Community was, according to Greek Prime Minister Andreas Papandreu, "*no onslaught at all.*" The Greek side maintained, "*It is not a cause for action under the Treaty of Guarantee for the Preservation of Independence.*"

Each time Turkey moved to prevent a bloodbath in Cyprus, Greek representatives joined with the Greek Cypriot leadership in protesting against "*outside interference in the internal affairs of Cyprus.*"

According to Greece, the elimination of Turks from Cyprus (under the false claim that the Turks had rebelled) was an internal affair for Makarios III, and Turkey had no right, moral or otherwise, to come to the aid of the Turkish Cypriots. But Greece itself was already in Cyprus -- at the invitation of Makarios III -- with 15,000 Greek troops.

And at a luncheon party in honor of the visiting Greek defense minister on Oct. 27, 1964, Archbishop Makarios III was quoted in the local press as follows: *"Greece has become Cyprus and Cyprus is Greece. I firmly believe that the Pan-Hellenic struggle for the union of Cyprus with fatherland Greece will shortly be crowned with success, and its success will serve as the beginning of a new era of Greek grandeur and glory."*

Turkey, fully aware of the complicity of the Greek Government in this diabolical plan to unite Cyprus with Greece, raised its voice in conjunction with the Turkish Cypriots. Turkish officials stated: *"If union with Greece was the aim, then the Turkish Cypriots should be left out of it. ... Turkish Cypriots, who owned 30 percent of the registered land and were one-fifth of the population of Cyprus, did not want to be colonized by Greece. They must cede to Turkey."* The clear answer and reaction to enosis was a double-enosis.

This Turkish answer to enosis, which Greece was actively pursuing in Cyprus, was to be used over and over again both by Greece and Greek Cypriot leaders *"as proof of the partitionist aims of Turkey"*! And Makarios III was to clearly come out with his objection to giving any rights to the Turks in Cyprus in November 1964.

On Nov. 21, 1964, Archbishop Makarios III said to the Phileleftheros newspaper: *"I am for enosis and shall always stand for it. But it must be genuine enosis without curbs or strings."* Any right recognized for the Turks in Cyprus in return for agreeing to enosis would detract from the genuineness of enosis.

On Nov. 24, 1964, he made his point even more clear. *"I emphasized that the union of Cyprus with Greece must be a union of the whole island, including all areas."*

## **Greek Army in Cyprus**

While Archbishop Makarios III was making clear his thoughts on the future of Cyprus, similar statements were also being made by Greek leaders in Greece. Some 15,000 Greek troops had actually occupied Cyprus since 1964. Greece and Makarios III were confident that Turkey could not risk a major war with Greece in order to save Turkish Cypriots and their rights in the face of such military reality.

Indeed the two partners knew of the anxiety of the US government about a Greco-Turkish war and its repercussions on the NATO alliance and banked on the knowledge that any attempt by Turkey to come to the aid of Turkish Cypriots would be prevented by US action.

Only a few days into 1965, Makarios III received some bad news. The Soviet delegation officially announced the existence of "two communities" with sovereignty and legal rights on the island. Following this bad news, a series of top-level reciprocal visits took place between the Soviet Union and Turkish politicians and bureaucrats in 1965, which softened the strong and blind support of the Soviets for the Greek government of Cyprus and of Archbishop Makarios III.

On Feb. 5, 1965, the Cyprus Mail newspaper was to report this gem from Makarios III: *"Their presence in Cyprus (the Greek mainland army divisions) is evidence not only of the support but of the presence of Greece in Cyprus, and that the struggle is common, and so are the aims."*

He made his point even clearer on March 1, 1965, by saying, "Cyprus is part of Greece and enosis is written in the future of Cyprus... the goal of our struggle is enosis."

On April 27, 1965, at Limassol Stadium surrounded by Greek main-land officers, Makarios, accompanied by the ambassador of Greece, drew wild cheers from

his listeners as he announced: "*The ideal is enosis... which has not yet been realized. But the struggle for its realization continues and will continue! ... and no power in the world, no adversity, no obstacle, can deflect us from this destiny.*"

In the meantime, combined Greek mainland and Greek Cypriot forces were harassing the Turks of Cyprus, and at the UN the representatives of Greece and of the Greek Cypriot administration were acting in concert to conceal the fact that their actions in Cyprus were aimed at doing away with its independence.

A smokescreen was raised to make it look as if Turkish Cypriots and Turkey were trying to partition the island and were the cause of all the trouble. The UN was repeatedly invited "to stop Turkey from interfering in the internal affairs of Cyprus, an independent republic whose independence was being continuously threatened by Turkey."

It is crystal clear that everything that happened in Cyprus was the result of the combined efforts of Greek and Greek Cypriot leaders. There would have been no trouble, no inter-communal conflict or civil war in 1963 had Greece not been involved. And the trouble would not have continued the way it did had Greece backed out of this plan to destroy the republic and achieve enosis by a series of illegal and inhuman acts. But Greece was in up to its neck and saw no reason for withdrawing.

As an aside, here is a reminder that "the union of Cyprus with Greece, enosis," is part of a bigger plan which has been successfully implemented for more than a century. On July 29, 1970, a group of Greek tourists from the island of Rhodes came to Cyprus. Makarios III addressed them, saying: "*The hearts of Greek Cyprus, of Rhodes and of all Dodecanese islands have a common beat. You have achieved your aspirations, but we, beset by difficulties and frustrated by fo-reign meddlers, are still struggling for ours. Bet despite all dif-ficulties Cyprus will march on to Hellenism.*"

At the United Nations, and within the Afro-Asian group, Makarios' representatives were urging their listeners that the struggle in Cyprus was "*for full independence and self-determination.*" For years and years they managed to deceive these people with such disinformation. The Greek mainland representatives were in full agreement and support.

Shipments of Soviet arms and ammunition to Cyprus continued until May 1965 and then apparently stopped.

### **The Turn Point of Greek Assaults**

The influence of Archbishop Makarios III on the Greek government started deteriorating after the 1967 incident, which immediately resulted in a crisis between Greece and Turkey.

Corruption in the demagogic government of Andreas Papandreou in Greece paved the way for a dramatic change in the democratically elected parliamentary system and the Greek military junta took over rule of the country.

Makarios III, still on good terms with officers carrying lots of stars on their shoulders, infused them with confidence, stating, "*Enosis was around the corner, if only the Turkish Cypriots were given a few hard knocks.*" In mid-November 1967 notorious terrorist leader Gen. Georgios Grivas, who had been appointed by Makarios III as the supreme commander of the Greek forces and sent clandestinely to the island by the Greek government and Greek Cypriot Armed Forces, launched an attack with the Greek Cypriot National Guard and the Greek militia forces on the Turkish Cypriot village of Geçitkale (Kophinou) and the Turkish inhabitants of the neighboring village of Boğaziçi (Ayios Theodoros) in the Larnaca district.

The operation was ferocious in its intensity and bloody in its effect. After hours of combat, close to dusk, 28 Turks were murdered and scores of others were

wounded. Turkish homes were ransacked, looted and deliberately set on fire. Some of the wounded Turkish Cypriots had kerosene poured over them and were then set on fire. This attitude and inhuman behavior of the Greek Cypriots, recorded in history books and memoirs, is a good example of the Greeks' vandalism and inhumanity.

George W. Ball, the undersecretary of state from 1961 to 1966, during the John F. Kennedy and Lyndon Johnson presidential administrations, details this situation in his memoirs, "The Past Has Another Pattern" on pages 341-347 as follows:

"Three or four vignettes of my Cyprus days stand out sharply in my memory. A massacre took place in Limassol on the south coast in which, as I recall, about fifty Turkish Cypriots were killed -- in some cases by bulldozers crushing their flimsy houses. As Makarios III and I walked out of the meeting together on the second day, I said to him sharply that such beastly actions had to stop. ...

With amused tolerance, he replied, "*But, Mr. Secretary, the Greeks and Turks have lived together for two thousand years on this island and there have always been occasional incidents; we are quite used to this.*"

I was furious at such a bland reply. ... "*Your Beatitude,*" I said, "*I've been trying for the last two days to make the simple point that this is not the Middle Ages - - the world's not going to stand idly by and let you turn this beautiful island into your private abattoir.*"

Instead of the outburst I had expected, he said quietly, with a sad smile, "*Oh, you're a hard man, Mr. Secretary, a very hard man!*"

I promptly telegraphed the President advising him of my proposal. ... "*The Greek Cypriots*", I wrote, "*do not want a peace-keeping force; they just want to be left alone to kill Turkish Cypriots.*" Meanwhile, I emphasized, the Turks would not wait for a protracted [UN] Security Council hassle." (Ball,1982, p.341-7).

The brutalities committed during the Geçitkale (Kophinou) and Boğaziçi (Ayios Theodoros) attacks immediately provoked a strong reaction from Turkey. An ultimatum to Greece demanded that the attacks towards Turkish Cypriots cease immediately and that wounded Turkish Cypriots and destroyed Turkish villages be compensated. Turkey and Greece were thus brought to the brink of war yet again.

Cyrus Vance, a special envoy for President Johnson, secured an agreement under which Greece agreed to withdraw its forces. Furthermore, the Greek Cypriot administration agreed to compensate the Turkish inhabitants of the two villages.

But the Greek Cypriot government and the government of Greece failed to fulfill the conditions of the agreement they signed. This attitude has been the usual practice of the Greeks for centuries. They have the habit of denying their promises and signatures when the conditions change in their favor.

Since Makarios III declared unilaterally that the 1960 Republic of Cyprus Constitution and treaties were "null and void" on Jan. 1, 1964, although only a few years after signing them officially in London and Zurich in 1959 and in the House of Representatives of the Republic of Cyprus on Aug. 16, 1960, as expected from him, the withdrawal of the Greek troops was only partially carried out and he went back on his promise to compensate the Turkish Cypriot victims of the Geçitkale (Kophinou) and Boğaziçi (Ayios Theodoros) attacks.

### **Withdrawal of Greek Armed Forces from Cyprus**

After the Kophinou (Geçitkale) and Ayios Theodoros (Boğaziçi) attack of the Greek Cypriot army, which created a serious and deep crisis between Turkey and Greece, The junta in Greece responded positively to the UN call to withdraw the Greek troops on the island.

The Greek junta, to lower the heat and the tension between Turkey and itself, made a proposal to exchange the island of Castellorizon (Meis) for the union of Cyprus with Greece and other concessions. The Turkish government flatly rejected these offers.

The Greek government was no longer impressed by Archbishop Makarios' judgment, nor with his strategy toward enosis. He had led them to attack the Turks and face war with Turkey. Beyond his expectations, the Turkish Cypriots had stood firm despite the heavy blows he thought would be enough to drive them from the island.

The Greek junta refused to pursue Makarios' strategy of keeping the Greek army on the Cyprus to prevent the possible intervention of Turkey. They decided to withdraw, as officially requested by the UN, leaving behind a gaping and disillusioned Makarios III.

Turkey's action following the 1967 crisis and the undertaking by Greece to withdraw her forces from Cyprus paved the way for the commencement of intercommunal talks to find a just and peaceful settlement to the Cyprus problem.

Until then the Greek Cypriot side had adamantly refused to enter into negotiations with the Turkish Cypriots, whom they called "rebels".

### **Commencement of Peace Talks**

The talks commenced in June 1968, initially in the Beirut, continuing later in the Ledra Palace Hotel in Nicosia. They continued until September 1971, when they stalled.

It should be noted that it was in 1971 that Georgios Grivas, who had left the island in accordance with Turkey's ultimatum in 1967, returned secretly to Cyprus to stir up trouble again.

After considerable prodding by the UN the talks resumed again in June 1972. At the inaugural meeting on June 8, 1972, the Turkish Cypriot negotiator, Rauf R. Denктаş, made the following statement:

*"The area in which Cyprus is located is highly sensitive. The inseparable ties of the two communities with their respective motherlands are too strong to be denied. The fact that whatever happens between the two communities is inevitably reflected in Ankara and Athens cannot be disregarded. We therefore, as the two national communities in Cyprus, the co-founders of the independence and sovereignty of Cyprus and partners in the administrative set-up of the Cyprus State have a duty not only to our respective communities and to Cyprus as a whole but we also have an international duty for maintaining the peace in this delicate area in the knowledge that, by doing so, we help our respective motherlands to normalize their political relations. Cyprus should be and can be made a bridge of Greco-Turkish friendship and cooperation. Our role to this end can be most significant."*

Regrettably, the Turkish Cypriot side's spirit of cooperation and compromise found no echo on the Greek Cypriot side.

In this context, it should be noted that Glafkos Klerides, the Greek Cypriot negotiator, stated in the Cyprus Mail newspaper on Aug. 8, 1976, that a "near agreement" had been reached during the inter-communal talks in 1971 and 1972, which the Greek Cypriot Council of Ministers and Makarios III vetoed (Klerides,1976:p.1 ).

Between 1971 and 1974 period, Makarios III continued to make provocative speeches in various parts of the island.

Addressing a public gathering at Yenierenköy (Yialousa), a village situated on the north shores of the Karpaz peninsula on March 14, 1971 Makarios III was

recorded as saying: "*Cyprus is Greek. Cyprus was Greek since the dawn of its history, and will remain Greek. Greek and undivided we have taken it over. Greek and undivided we shall preserve it. Greek and undivided we shall deliver it to Greece.*"

Makarios III, realizing the impossibility of enosis by brute force under the existing conditions, decided to wait and enjoy the benefits of his role in "the only recognized official government of Cyprus" until the day when Turkey would be weak and unable to intervene. Then he would be able to have the Turkish Cypriots squeezed into ghettos on 3 percent of the island with no money, no jobs, no food, no electricity, no water and no hope.

### **Reborn of EOKA**

During the same period, terrorist activities of EOKA-B, born from the ashes of the notorious National Organization of Cypriot Fighters (EOKA), the ensuing political tensions and the tactical differences between Makarios III and the Greek military junta started to adversely affect the already overburdened atmosphere on the island in general, and the inter-communal talks in particular.

The Greek Orthodox Church in Cyprus and Greece interpreted Archbishop Makarios' seeming inactivity against the Turks as a deviation from the goal of enosis. The church conveyed this opinion to the generals in charge of Greece and to Makarios' rivals in Cyprus. Despite Makarios' repeated assurances that he was still loyal to his enosis oath of 1950, the Greek camp became divided into hostile splinter groups.

The mistrust between Makarios III and the National Organization of Cypriot Fighters (EOKA) supporters in Cyprus and the generals in charge of Greece stuck out and turned into clear animosity. The generals were quite confident that he was rather loyal to the erstwhile monarchy and that he was covertly supporting a clandestine group working to overthrow them and bring back the monarchy.

In April 1969 a group named "National Front" was formed by old EOKA members and supporters to carry on the enosis struggle under the hidden leadership of Polycarpos Yorgadjis, former interior minister and EOKA member. Their first action was to organize raids and steal arms, ammunition and explosives from rural police stations, military camps and mines with the consent of the generals in Greece and high-ranking Greek officers in the Greek Cypriot National Guard. This spurious group put pressure on the government with a series of sabotages and attacks on the homes of politicians to form specially trained shock troops that would attack the Turkish Cypriots.

### **The Tussle Between Makarios III and the Greek Generals**

After the Greek Cypriot Army's Geçitkale (Kophinou) and Boğaziçi (Ayios Theodoros) attack, which resulted in a deep crisis between Turkey and Greece, the junta generals in Greece were forced by Turkey to withdraw their troops from Cyprus. The Greek troops evacuated the island quickly, although not completely. Makarios III regarded this retreat as "cowardly" and never forgave the generals.

On the other side, the generals were disappointed in Makarios III for his having drifted into a humiliating situation' led astray by his unfounded beliefs on the road to enosis. The tussle between Makarios III and the Greek generals gave way to an assassination attempt. In January 1970, Makarios III, while visiting Kenya, was warned by a US diplomat in Nairobi of a plan to assassinate him on his return to Cyprus. At the end of February, the US Ambassador in Nicosia, David Popper, told him to expect an attempt on his life in the next 15 days (O'Malley, 1999).

On 8 March, as Makarios' helicopter took off from the courtyard of the President's Palace to take him to a memorial service at a monastery, it was raked with bullets fired from the roof of a school. The pilot was hit and critically wounded, but

managed to crash-land on an open space nearby. Makarios III survived unscathed. Police found a stengun and two rifles abandoned by the snipers on the school roof. Over the next few years, Gen. Georgios Papadopoulos' intelligence and military officers made repeated attempts to solve the Makarios III "problem" by trying to assassinate him or oust him by force. With the exception of the supporters and fans of EOKA, most of the Greek Cypriots believed that these terrorist activities and assassination attempts were instigated from Athens.

Instead of bickering with his fellow countrymen (the supporters of the National Front) on a new front, Archbishop Makarios III preferred to appease them. After a couple of attempts he broke the ice and managed to convince them to dissolve their organization, that is, the National Front. He even granted amnesty specifically intended for these people. He was quite successful in convincing these people and he spoke to them as the "etnarh" which he actually was: the ecclesiastical and national leader, wearing his archbishopric black gown.

Following NATO meetings during the summer of 1971, Gen. Georgios Papadopoulos ordered Makarios III to offer some concessions to Turkish Cypriots, but he refused and inter-communal talks broke down. In September 1971, Gen. Georgios Grivas (a.k.a. Digenis) was suddenly allowed to "escape" from house arrest in Athens and secretly sneaked onto the island again, after his official departure or withdrawal from the island by Greece following the Geçitkale (Kophinou) crisis in November 1967. He landed secretly by night, allegedly disguised as a priest.

He was sent to the island by the generals in charge of Greece to build up a resistance force against Makarios III and to stir up civilian opposition to him. After his arrival terrorism and anarchy in the Greek sector of the island took a more serious turn. Immediately after his landing he joined the underground and began to reactivate

the National Organization of Cypriot Fighters (EOKA) under a new name, "EOKA B." Greek army officers sent by Greek generals to serve in the Greek Cypriot National Guard in Cyprus helped Grivas. Shortly thereafter he enlisted former EOKA members who did not sympathize with Makarios III and collected his old comrades, together with new aspirants. His recruits started by raiding police stations for arms and distributing leaflets calling on his former EOKA comrades to join him once more in a battle for enosis.

Although Greece denied responsibility for Grivas' secret landing in Cyprus, the Greek Cypriot leadership believed that he had been allowed to "escape" to Cyprus in order to provide a check on Archbishop Makarios III and his communist friends. Only after a mere month and a half, on Oct. 26, 1971, Grivas issued a proclamation denouncing Makarios III and his government as unworthy to the Greek community (Grivas, 1971). He declared that he returned to fulfill a centuries-long aspiration of the Greek Cypriot community to unite Cyprus with Greece, the blessed enosis. Makarios' answer came after three days. He claimed that the generals in Greece never dared to share the responsibilities of the aftereffects of enosis, which could have led to a regional catastrophe, with the people of Greek Cyprus. To be left alone and ground down politically or forcefully was a more likely end. Makarios III tried to play the same game he played with the members of the National Front and tried to get General Grivas Digenis on side. He even offered him the minister of defense post, the most important post in the cabinet during the era, which Grivas refused immediately. Makarios' endless propositions finally ended up with success and a secret meeting was held in Nicosia. They discussed how to reach the final goal of the Greek Cypriot nation and the Hellenic world: enosis. They agreed on enosis, but not on the timing and the method. Archbishop Makarios III told Grivas that if his aim was enosis, "*then both I*

*and the people of Cyprus are ready to enter such a struggle, provided it is backed by the Greek government"* (Mahi, 1972).

### **Coup d'eta against Makarios III**

Grivas wanted enosis to be realized by brute force in the shortest time possible. Makarios III, on the contrary, insisted on caution and a safe but long-term approach. He did not want to bolster the prestige of the generals in Greece by uniting the island with Greece at the cost of the anger and refusal of global powers. He was geared to wait and win. Grivas, failing to convince Makarios III on immediate enosis, continued to organize more raids and bomb attacks, while Makarios III went on assuring his community and foreign diplomats that he could eliminate Grivas and his armed gang any day he wanted. He declared Grivas an outlaw, but never made any serious attempt to arrest him. Grivas died on January 27, 1974 of a heart attack in his hideout. EOKA B continued to plan the coup d'etat against Makarios III, the President of the Greek Cypriot Republic, but was quite weak and almost dissolved due to the imprisonment of all of the local leaders.

In the morning of July 15, 1974 the military Junta, in power in Greece, staged a coup against Makarios III, with the full support and strategic help of EOKA B and supporters of Greece, to realize "Enosis", Union with Greece. Makarios was thrown out of his throne and the establishment of "The Hellenic Republic of Cyprus" was declared by the new Greek president Nikos Sampson appointed by the junta in Greece. The coup d'eta which took place on Monday, July 15, 1974 against President Makarios III, turned upside down the power balance and EOKA B get hold of the powers of the Makarios government. The remaining leaders found invaluable opportunity to take revenge from the supporters of Makarios III and members of AKEL.

The second plan to exterminate the Turkish Cypriots titled as "Iphestos Plan" or "Efestos" ("Vulcan") was found among the official documents, classified as "Secret" in the military camps of Greek National Guards, after the intervention of Turkey on July 20, 1974. The Greek Parliament decided on a parliamentary debate on the Cyprus File in the year 1986. During the hearings in the Examining Committee the "Iphestos Plan" was revealed. The political leaders unanimously decided to classify thousands of relevant documents and depositions as "Top secret" and kept in a well protected safe in the office of the Chairman of the Greek Parliament (Drusiotis, 1976). Unveiling of this notorious plan officially would strengthen the hand of Turkey and Turkish Cypriots, on the debates concerning the intervention of Turkey to the island on July 20, 1974. Accordingly based on this possibility, The Greek Parliament decided unanimously to keep them out of curious eyes and researchers and keep them under lock for life time.

### **The Iphestos Plan**

The Iphestos Plan will be discussed in the main thesis in full.

### **Purpose of the Study**

The purpose of this study is to research deeply and widely the background and the necessity of the extermination plans designed by the Greek Cypriots in the years 1962 and 1974 respectively in order to convert the 1960 Republic of Cyprus into a sole Greek Cypriot unitary state and annex with Greece.

### **Literature Review**

After the 1974 coup, coup leader Nicos Sampson admitted his plan was to commit genocide against the Turks: "*Had Turkey not intervened I would not only have proclaimed 'enosis,' I would have annihilated the Turks in Cyprus.*" (Sampson, 1981)

The purpose of this research thesis is to enlighten the real intention and veil the national ideal of Greek Cypriots on what do they have in their minds concerning the destiny or the future of the island of Cyprus. It seems obvious that almost no one, no researcher and academic had studied in depth and reached to prime sources concerning the Ipheostos Plan. The literature as listed at the end of this paper in the chapter titled "References".

### **Methodology**

The methodology would be to find out the answers to the question or topic "*why extermination plans made by the Greek Cypriots twice within the ten years period*" using the prime sources, secondary sources and tertiary sources. The main obstacle or limitations to reach to a reliable answer is the lack of full evidences, original documents and the unwillingness of the Greek Cypriots to mention anything pro or against the Ipheostos Plan. The instruments and data to be used for the analysis of the case will be the official documents confiscated by the Turkish army and/or the local army officials from the hastily abandoned Greek Cypriot National Guard's military camps.

### **Results and Discussion**

The data collected are the official copies of the documents issued by the Greek Cypriot National Guard officials, two books issued by the Public Information Office and a book authored by a retired Turkish diplomat, Mr. Korkmaz Haktanır.

### **Conclusion**

The research started from the core of the subject as early as 1950, and considered, mainly the behavior, thoughts, ideals, teachings, decisions and governing attitudes of the first president of Republic of Cyprus Archbishop Makarios III. His dream of realizing the 218 years-old Greek ideal of Enosis, unification of the island

of Cyprus with Greece, and taking place in the history books, not as the President of the Republic of Cyprus or the Archbishop of the Orthodox Church of Cyprus but the national hero succeeded to unify the island of Cyprus to mainland Greece, blinded his mind and led him to preposterous decisions, like the notorious extermination plans, Akritas Plan in 1962 and Ipheostos Plan in 1974. The second inhuman plan framed by the Greek Cypriots in 1974, to exterminate the Turkish Cypriots titled "Ipheostos Plan (Volcano)", studied solely in this research.

The research started from the initial plan, framed by the Greek Cypriots in 1962 to exterminate the Turkish Cypriots called "Akritas Plan" and studied the factual background, reasons, implementations and consequences and the need for a second extermination plan, namely "Ipheostos Plan". The research ended on the day of July 15, 1974, where a coup d'eta performed in the island of Cyprus to realize the 218-year-old Greek ideal of Enosis and the intervention of Turkey on July 20, 1974, when upon completion, the official documents related to Ipheostos Plan were secured in whole. The future research related to this topic should start from the assassination of the former Minister of Interior, Polycarpos Yorgadjis in 1972.

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## **A New Approach in Public Budgeting: Citizens' Budget**

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### **Abstract**

Change and transformation in the understanding and definition of citizenship has led to the emergence of citizen-oriented public service approach. This approach also raised a new term and concept in the field of public budgeting because of the transformation in the processes of public budgeting: citizens' budget. The citizens' budget which seeks to ensure participation of the citizens in the budgeting process serves as a tool to ensure that the budget is shared with the public transparently and that the people take part in the budgeting processes. Citizen's budget is one of the main tools and instruments that the central and local administrations could use to ensure greater transparency and citizenship participation. This study focuses on the concept of citizens' budget, its goals and principles. In addition, the paper also analyzes the phases of budget-making and the expected outcomes out of the citizen-oriented budgeting. Furthermore, the study, referring to practices of different countries in this field, offers some insights on the citizens' budget.

*Keywords:* public budget, citizen centered, citizen based budgeting, citizens' budget

### **A New Approach in Public Budgeting: Citizens' Budget**

Major changes in political, social, cultural and economic fields led to significant differences in the provision of service in public and private sectors. To this end, it should also be noted that the demands and the expectations of the citizens from the public sector have also been diversified. Because of the changes in the information and communication technologies, citizens expect a high quality and efficient service and demand its provision fast.

The citizens no longer want to receive insufficient and ineffective public services that do not address their needs and priorities. They instead expect consideration of their demands and expectations in the provision of the service and flexibility by the public servants and officials in this process. They also want to file their complaints in case they find the service insufficient and receive swift response to these complaints by the public authority. This approach, referred to as citizen-oriented public service, means an approach of service provision that considers involvement of the citizens in the process, consideration of their demands, wishes and priorities and citizen satisfaction in all phases of the process (Şahin, 2014). This approach further led to change in the public budgeting processes and to a new understanding and practice in the field of public budgeting: citizen-oriented budgeting and citizen budget.

### **Citizen-Oriented Administration Approach and Citizen-Oriented Budgeting**

The citizen-oriented administration approach refer to such extensive issues and matters as increasing quality of administration in public management, reinforcing accountability mechanisms, ensuring transparency in the provision of public services, involving the people and civil society groups in the making policies, improving confidence in the state and making public service quality better (Karataş, 2007). In short, this approach places the citizen at the center and considers their expectations to renew itself. Table 1 illustrates the benefits of this approach for the people as well as the institutions.

-Table 1

*Advantages of the Citizen Model*

What it means for citizens	What it means for organisations
- <b>citizens trust public services;</b>	- organisational culture is outward facing and focused on outcomes for citizens;
- <b>citizens receive high quality, personalised, joined-up services, planned across</b>	- effective processes are in place for informing and engaging citizens;
- <b>citizens receive speedy and appropriate redress;</b>	- strong engagement with organisations which can articulate citizens' voice and experience;
- <b>citizens are well informed and have meaningful, diverse ways to express expectations, experience and needs within all spheres of government;</b>	- objective information about citizen perceptions and satisfaction is easily and widely available;
- <b>citizens' voice is heard and listened to regardless of the ability of the individual to make their needs known and felt;</b>	- scrutiny is respected, proactive, cross-cutting and non-party political;
- <b>citizens know how well services in their area are performing and see that organisations are being held vigorously to account by their representatives;</b>	- services are joined-up and personalised: business process between organisations and sectors is congruent and complementary;
- <b>citizens understand that individual and collective needs must be balanced and that the pattern of service delivery must change in order to secure improvement;</b>	- organisations pool sovereignty and resources to improve and deliver outcomes for citizens;
- <b>citizens understand they have rights and also responsibilities;</b>	- systems of complaint and redress are simple, accessible and congruent across organisational and sectoral boundaries;
- <b>citizens understand how much money flows into their area as a whole, how it is spent, what the outcomes are and</b>	- organisations attract, retain and motivate talent by seeking excellence and innovation which is celebrated;

<p><b>whether they are receiving value for money.</b></p>	
	<ul style="list-style-type: none"> <li>- the public service workforce is integrated, with skills which match present needs and future challenges;</li> <li>- diversity of provision is embraced as a means of challenge and innovation;</li> <li>- performance is objectively reported, challenged, supported and developed;</li> <li>- efficiency and effectiveness are strong cultural imperatives;</li> <li>- there is a rapid response to professional, technical and demographic change;</li> <li>- subsidiarity at every level: local organisations have autonomy to determine local policy and are empowered to deliver national and local priorities flexibly and responsively.</li> </ul>

**Source:** Beyond Boundaries Citizen-Centred Local Services for Wales, Review of Local Service Delivery: Report to the Welsh Assembly Government, <http://www.wales.nhs.uk/sitesplus/829/pendoc/116854>

The growing needs of the people in today’s world call for good governance and replacement of the traditional government style. The demands for change make modernization of the management and its employees and improvement of the service provision mechanisms. To address these demands, approaches and understanding placing greater emphasis upon the citizen are being employed (Karataş, 2007). The citizen appears to be a strong element in the provision of the services and the operation of the public administration.

A number of factors have played role in the emergence of the citizen-based management approach. These are complicated processes which also interact each other. These factors can be listed as follows (Şahin & Şahin, 2013)

- Globalization
- Changing roles and expectations of the citizens
- Change in information technologies
- Growing importance of civil society organizations

We live in an age of transformation. The roles the states assume change depending on the expectations of the citizens. Referred to as third sector, civil society organizations also contribute to the process of transformation and play influential roles in the decision making processes. The main factor in these changes is the improvement in the information technologies. These changes restructure the public administrations which, as a result, try to offer better, faster and uninterrupted services. The main goal of the citizen-based management approach is to improve efficiency in the public sector and to maximize citizens' satisfaction.

Public budgeting process is a process where significant public decisions are made. For this reason, it is viewed as a great opportunity for citizen participation. In the traditional budgeting approach, the roles of the citizens in the budgeting processes are limited whereas in the citizen-based approach, they play a growing role. This budgeting approach employed by central administrations is mostly used in the local administrations.

Citizen participation in government budgeting processes is a topic that has received attention for many decades. Citizen participation in budgeting is a novel mode of governance that brings together multiple stakeholders with public agencies to engage in budgetary decision-making within the networked environment of modern public administration (Hong, 2015). In many democratic societies, the role of citizens in the budget process has steadily widened over recent decades. One reason is the assumption that dialogue between administrators and citizens is a useful mechanism for increasing accountability in contested areas. Such dialogue is a valuable tool to improve citizen trust in government. It aligns budgetary decisions with actual citizen priorities and values. Moreover, participation can feed

useful information into budgeting. Citizens in cities with more participation were less cynical and more supportive of local governments (Kim & Schachter, 2013).

Ebdon and Franklin (2006) summarize five beneficial outcomes of citizen participation in budgeting: 1) informing decision making, 2) educating participants about the budget, 3) gaining support for budget proposals, 4) influencing decision making, and 5) enhancing trust and creating a sense of community (see also Ebdon & Franklin, 2004; Franklin, Ho, & Ebdon, 2009; Franklin, Krane, & Ebdon, 2013).

Regarding the question of what causes a local government to involve citizens in budgeting, scholars have identified the following factors (Liao & Zhang, 2012) environmental factors, such as the political culture, the form of local government, community size, and heterogeneity; 2) the utilization of engagement mechanisms, such as public hearings, citizen surveys, and advisory committees; 3) policy process design, such as timing and the solicitation of participants; and 4) the role of public administrators, particularly the professionalism and attitude of city managers toward citizen participation (see also Ebdon & Franklin, 2004; Franklin & Ebdon, 2005; Ebdon & Franklin, 2006; Zhang & Yang, 2009; Zhang & Liao, 2011).

### **Defining Citizen-Based Budgeting System**

Citizen-based budgeting (CBB) emerged as part of a citizen-based management approach. CBB is essentially a budgeting technique where the citizens are included directly or indirectly to the budgeting processes of approval, implementation, evaluation and supervision (Uysal Şahin & Şahin, 2013).

Mostly used in local administrations, this budgeting technique seeks to make the local administrations more accountable to the people. In fact, CBB is a newly emergent technique out of the combination of the participatory budgeting and performance budgeting. The technique which seeks to increase level of accountability offers a method through which the citizens are allowed to express their views and wishes. CBB is implemented to reinforce

accountability; but this is not the only goal. Other goals include addressing the inefficiency in source distribution, the failure of distributing the sources based on the needs and the ineffective operation of the public sector (Uysal Şahin & Şahin, 2013).

CBB is a system designed to encourage timely citizen participation in the most fundamental function of "govprovide," offering not only a smoother budgeting process but also smoother, more efficient governance. Even in this time of sophisticated technology and rapid communications capability, citizens still think that local governments, elected officials, and administrators are out of touch, or possibly even callous enough to be unconcerned with the public's views on how public dollars should be spent. Using technology to help improve "connectedness" with the public should be, by this time, nothing new. But using it effectively to enhance connectedness at the critical beginning point of the annual life cycle of government-the budget process-is not as commonplace as might be expected. To succeed in enhancing connectedness and achieving a smoother budgeting and governing process, CBB uses technology to gather citizen viewpoints scientifically at the beginning of the budget procedure (Stampfler, 2005).

Technology gives citizens the chance to share frank and anonymous viewpoints with the governing body. In this author's experience, the discussion of sensitive issues before government officials at public meetings deters all but the most stalwart or radical citizens from coming forward publicly to share their views. In the same manner as voting in a polling booth represents the sharing of opinion anonymously and confidentially, views on formulating a budget framework deserve anonymity, too. Of course, not all matters surrounding budget formulation warrant a confidential expression of opinion. But at the beginning of a budget process, this is a warranted and valuable way in which to assay public input. Technology should be used scientifically and systematically (that is, consulted regularly and carefully) to allow for accurate and useful measures and appropriate analysis. If there is no consistent effort made

over time to collect and monitor opinions held by the public, technology alone will not exert a useful impact on the quality of the budget process (Stampfler, 2005: 2). Care should be taken to institutionalize the effort and to establish credibility by maintaining a regular and systematic outreach to collect these opinions.

### **Process of Citizen-Based Budgeting**

Ten main factors play role in the process of citizen-based budgeting process. The steps in the CBB process are presented in Figure 1.

1. Advisory board topics, 2. citizen survey results, and 3. administrative topics are presented to the governing body in Month 1 for consideration in the establishment of annual goals. 4. The governing body's establishment of goals centers around the results of the citizen survey, the recommended topics/reports of the advisory boards and administration, as well as, of course, each governing-body member's proposed goals. The final goals and objectives are adopted in Month 8. 5. Goals and objectives established by the governing body are incorporated into the preparation of the administration recommended budget. 6. After the review of the citizen survey and the recommended topics/reports of the advisory board and administration, the governing body will establish advisory-board study priorities and timetables for the following year. 7. The governing body and the administration hold public budget meetings to review and study the various portions of the budget. Public hearings on the budget are held in Months 6 and 7. 8. Following the budget meetings, review of the budget by the governing body, and required public hearings, the final budget is adopted. 9. The administration implements the budgeted programs and pursues the accomplishment of the established goals and objectives over the course of the fiscal year. 10. Advisory boards research and present findings on the various issues requested by the governing body, with the governing body taking action as appropriate. Information gathered is used by the advisory boards in preparation (Stampfler, 2005).

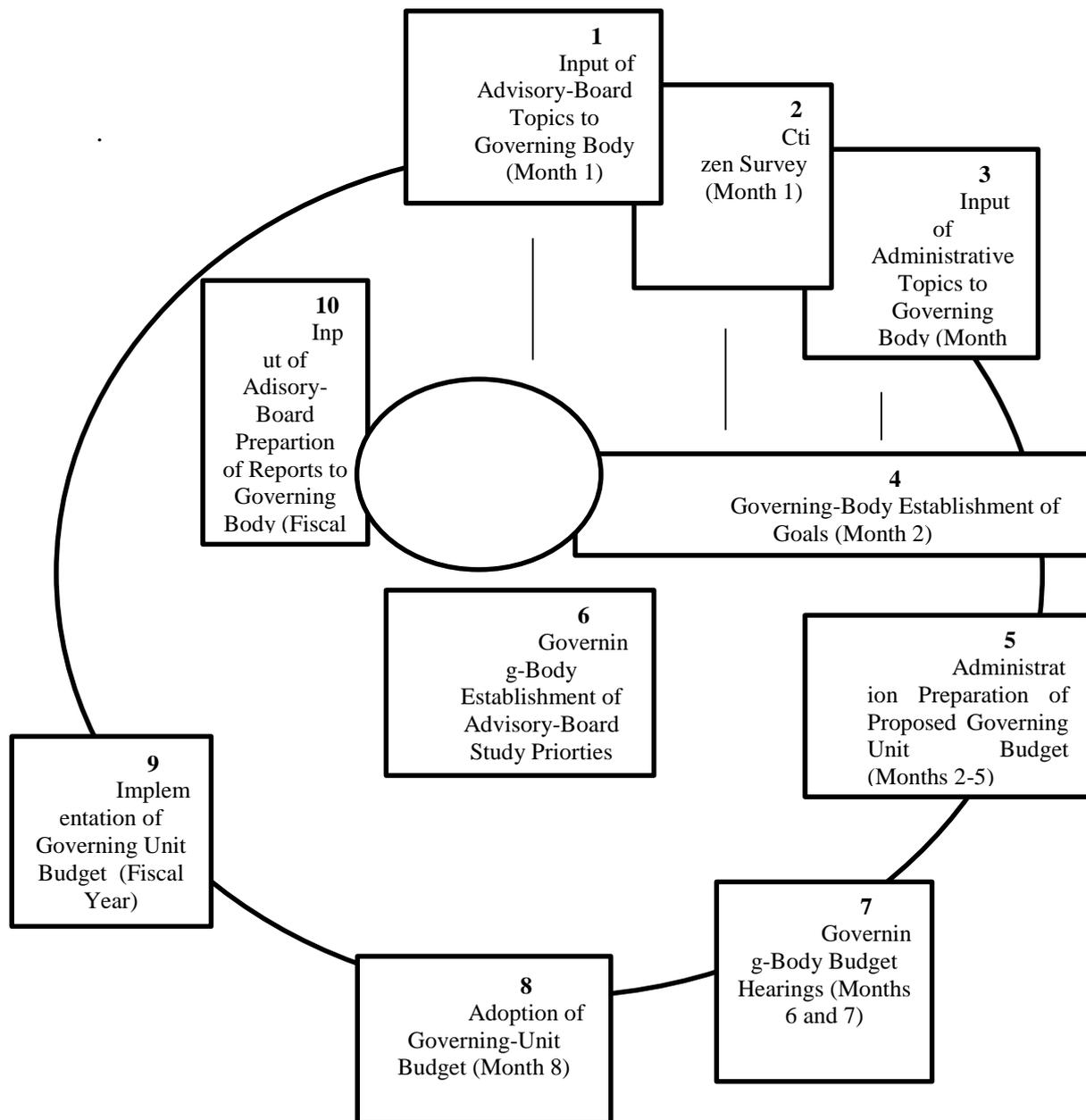


Figure 1: Goal-setting and budget process

Source: Stampfler, 2005

[http://icma.org/en/icma/knowledge\\_network/documents/kn/document/6932/citizenbased\\_budgeting](http://icma.org/en/icma/knowledge_network/documents/kn/document/6932/citizenbased_budgeting)

In general, a citizen-oriented budgeting process requires some form of representative institutional structure and rules that ensure the right to information. Such processes further require institutions that facilitate (in a meaningful sense) the revelation of citizen demand, the opportunity for citizen reflection and resolution (in the budget decision or approval stage), the

ability of citizens to report (on budget implementation), and avenues for citizen response and redress (that influence the incentives administrative and political officials face). These institutional mechanisms are shown in Table 2 (Andrews & Shah, 2005). They are expected to effect a citizen orientation most efficiently when introduced within structures that ensure local political representation and the right to information.

Governments attempting to orient their budgeting processes to meeting citizen needs must provide formal channels for citizen input. These channels largely come in two varieties: formal, institutionalized forms of representation or parallel, participatory mechanisms. The first-best option for developing a citizen orientation in the budget involves citizens working within the political and administrative structures of representative local governments. To empower citizens, especially disgruntled citizens, local governments must be mandated to hold public hearings on budget proposals that are open to all. At these hearings, they must present a report on past performance. The budgetary proposals and performance reports must be made public well in advance of the hearings and must be made available in all local libraries and all local government offices as well as posted on the Internet. The local council should be required to include an annex to the budget that details its response to citizen input. Such a process can be a starting point for citizens' activism to reform their governments (Shah & Shen, 2007).

CBB is the main item in the citizen-based management. One condition of attaining good governance is to ensure that the budgeting is citizen-based. Individuals are stakeholders in the decision making processes and they are no longer in passive roles in these processes. Under the CBB approach, citizens will become partners in the administration.

Table 2 *Institutionalizing Citizen-Oriented Budgeting Processes*

Stage	<b>Budget targets formulated</b>	<b>Budget bids and drafts formulated, reconciled, and finalized into budget proposal</b>	<b>Political representatives debate, amend, and approve budget</b>	<b>Budget is executed, with in-year changes made and execution monitored</b>	<b>Ex post evaluation and control</b>
Specific institutional requirements	Revelation institutions: Citizen input regarding resource availability	Revelation institutions: Citizen input required regarding service demand	Reflection and revelation institutions: Citizen access to debate, as well as institutionalized transparency of debate process and outcomes and citizen-based approval process	Reporting institutions: Citizen participation in projects, citizen monitoring and response mechanisms	Response and redress institutions: Citizen evaluation and response mechanisms required
General institutional reforms required	Representative institutions Right-to-information institutions				

Source: Andrews & Shah, 2005: 191.

## **Characteristics of Citizen-Based Budgeting**

One extension of the citizen-based budgeting is citizen budgeting. Formulated by Salamon (1976), the citizen budgeting notion was however implemented three decades later. Salamon detailed how the citizen budget should be drafted and what characteristics it should bear. However, he did not give any details on how it would be implemented. Yet this initial draft served as the foundation of the citizen budgeting in many countries (Uysal Şahin & Şahin, 2013).

The citizen budgeting, developed to maintain basic principles of transparency and clarity, was in fact first discussed in the US. The Citizens Budget Commission was founded in 1932 by a group of merchants, bankers, real estate executives, and civic associations to advocate reductions in the costs of city government and study possible sources of new revenue. The economic strain of the Great Depression had hurt municipal government across the nation, and especially in New York City, where public revenues were severely impacted by business failures. Throughout its history, CBC has continually weighed in on relevant and pressing issues surrounding the City's and State's budget and finances and has acted as a credible and reliable voice for responsible and effective public policy (<http://cbcny.org/about-us/history>).

A number of initiatives were taken since 1990s under the auspices of International Monetary Fund (IMF), International Budget Partnership (IBP) and Organization for Economic Cooperation and Development (OECD) to ensure transparency in public administration. IMF published "Code of Good Practices on Fiscal Transparency" (1998, Revised 2007); and OECD issued "Best Practices for Budget Transparency" (2002). IBP, a civil society organization promoting the idea of transparency in public expenditures and access to the budget information, developed an Open Budget Index by which it evaluates the individual budgets of the countries.

Clarity, transparency and easy access to information have become major goals particularly in the 2000s in public administration; the growing importance of these principles

led to the emergence of a budgeting approach that is available to the knowledge of the citizens. The citizen budgeting which is part of this approach serves as a supplement to the government budget to ensure that the national budget details are accessible by the masses. Such supplemental documents include Budget Summary Citizen Guide in Kenya, Social Guide for South African Budget in South Africa, Budget Guide for Citizen in Croatia and Basic Facts for Taxpayers in New Zealand (IBP, Country Info, cited by Şeker & Beynam, 2013).

The most important initiative of our time on surveillance and publication of the citizen budgets is the IBP's The Open Budget Initiative. The Open Budget Initiative (Initiative) is a global research and advocacy program to promote public access to budget information and the adoption of accountable budget systems. IBP launched the Initiative with the Open Budget Survey—a comprehensive analysis and survey that evaluates whether governments give the public access to budget information and opportunities to participate in the budget process at the national level. The IBP works with civil society partners in 100 countries to collect the data for the Survey. The first Open Budget Survey was released in 2006 and will be conducted biennially. To easily measure the overall commitment of the countries surveyed to transparency and to allow for comparisons among countries, IBP created the Open Budget Index (OBI) from the Survey (IBP-OBI, <http://internationalbudget.org/what-we-do/major-ibp-initiatives/open-budget-initiative/>).

The Open Budget Initiative's 2006 Open Budget Survey, covering 59 countries, found that only ten countries had published a citizens' guide or its equivalent, while in the expanded 85-country 2008 Open Budget Survey, 17 countries did so. Number of countries offering citizen budget was 16 in the 2010 Open Budget Survey whereas it increased to 26 in the 2011 Open Budget Survey (IBP-Rankings: <http://survey.internationalbudget.org/#rankings> and IBP-Survey, 2012). In addition to some developed countries including UK, Italy, Norway and Sweden, some developing nations including Tanzania, Honduras, Thailand, Croatia and Mexico

also publish citizen budgets. Some increased citizen participation has been observed in the countries moving to publication of citizen budgets; and some important steps were taken to ensure greater participation which further led to greater transparency and efficiency as well as clarity. Number of countries publishing citizen budget increased to 39 as of 28 Feb 2015; this proves that there is a growing trend to ensure people’s participation in the budgeting for the sake of greater transparency and clarity (IBP-OBS Tracker 2015, <http://www.obstracker.org/> Access: 12.03.2015).

Table 3

*Countries That Have Published a Citizen Budget*

<b>Afghanistan</b>	<b>Botswana</b>	<b>Brazil</b>	<b>Chile</b>
<b>Dem. Rep. of Congo</b>	Dominican Republic	Egypt	El Salvador
<b>France</b>	Georgia	Ghana	Guatemala
<b>Honduras</b>	India	Indonesia	Italy
<b>Kazakhstan</b>	Kenya	Kyrgyz Republic	Mali
<b>Mexico</b>	Morocco	New Zealand	Nigeria
<b>Norway</b>	Philippines	Senegal	Sierra Leone
<b>Slovakia</b>	South Africa	South Korea	Sweden
<b>Tanzania</b>	Thailand	Timor-Leste	Tunisia
<b>Uganda</b>	United Kingdom	Vietnam	

Source: IBP-Survey, 2012 and IBP-OBS Tracker, 2015.

**Why Are Citizens’ Budgets Important?**

A Citizens Budget is a nontechnical presentation that “can take many forms, but its distinguishing feature is that it is designed to reach and be understood by as large a segment of the population as possible” (Petrie & Shields, 2010). A Citizens Budget is in some senses a simplified summary of the budget designed to facilitate discussion. Government is accountable to the people for this money. Making the budgets it develops publicly available is one way to provide an account. Another is through publishing financial reports that explain how the money has been spent. The challenge, of course, is that budget information can be complex and is produced by different parts of the government at different times. It is thus disjointed, located in different, often quite complicated, documents. In many respects, these documents are written

for the internal use of government, and so use technical terms that most ordinary people do not understand. If they cannot understand what is presented to them, they cannot ask questions about it. The people are, in effect, unable to hold their government to account (IBP CBG, 2012).

The annual budget is typically the key instrument by which a government translates its policies into action. The annual budget, however, is normally long and complex and accompanied by a number of detailed supporting documents. Thus, even for technical experts, understanding the budget is a difficult and time-consuming task. Therefore, it is essential that governments be proactive in helping the general public to make sense of the budget. Budgets should not only be available to the public they should also be accessible to the public. Currently, most governments fall significantly short when it comes to making their budgets accessible to the public. A Citizens Budget can help improve this situation (Ramkumar & Shapiro, 2010).

A Citizens Budget is a document that summarizes and explains basic budget information. It is a report to the people, presented in an accessible format using simple and clear language they can understand. Being able to understand, individuals can then carry out their responsibility as citizens in a democracy of asking questions that ensure that the government explains what it has done in their name (IBP CBG, 2012). Until very recently, there were no international standards calling for governments to produce a citizens guide to the budget. Since 2006 the IBP's Open Budget Survey has included a question on whether the government publishes a summary of the budget, and whether it publishes a Citizens Budget. In a 2007 revision to the IMF's Fiscal Transparency Code, a provision was included calling for publication of a clear and simple summary guide to the annual budget; this step by the IMF underscores the growing consensus on the importance of Citizens Budgets (Ramkumar & Shapiro, 201).

The citizens are, the primary beneficiaries of a Citizens Budget. The very purpose of a Citizens Budget is to increase their knowledge of what the government is doing and enhance

their capacity to participate in governmental affairs. However, governments also benefit from Citizens Budgets. A Citizens Budget can be a particularly effective way for a government to demonstrate that it holds itself accountable to the public. A Citizens Budget can also serve as a tool for civic education. It can be a vehicle for explaining how the budget is formulated, enacted, and executed, and who is responsible at each stage. Through a Citizens Budget a government can clarify which level of government (national, state, or local) is responsible for performing different governmental functions and providing services (IBP CBG, 2012).

### **Basic characteristics of citizen budget**

The Open Budget Survey identifies two types of CBs: a simplified version of the Executive's Budget Proposal and a simplified version of the Enacted Budget after the legislature has considered the budget and voted on it. In practice, existing CBs are almost always confined to guides to the budget proposal, rather than to the enacted budget. Over time, not only might guides to both be appropriate, but it would also be helpful to provide guides for all the main budget reports, so that all eight key budget documents would have accompanying citizen's guides (Ramkumar & Shapiro, 2010).

CBs can be created for both national and local governments. In the United States, for example, both the state and federal bodies responsible for the budget publish their own citizens' guides. It could be a useful exercise in Sierra Leone to have both the national government and the local councils release CBs. Petrie and Shields (2010), put forward the following general criteria for a government's Citizens Budget (Box 1).

#### **Box 1: General Criteria for a Government's Citizen's Budget**

- It should be an objective and technical document, not a political tract.
- It should be written with the needs of the general public in mind using everyday language, and it should be linked to more detailed explanations to provide a simple access point for those who want to know more.

- Full use should be made of simple and effective tables, charts, and diagrams, such as a “Budget at a Glance” table showing revenue, spending, the budget balance, and public debt for the budget year and the previous two years, and their percentages of GDP; the distribution (and change in distribution) of spending by function, ministry, major program, or economic type; revenues by source; the division of spending across levels of government; and per capita spending on the main social programs.

- It should be a self-contained document so that readers do not need to know the contents of other documents in order to make sense of it.

- It should focus on the objectives and contents of the budget — not its process. It should meet a range of quality standards, including comprehensiveness, objectivity, relevance, reliability, ease of understanding, and timeliness.

- It should be disseminated at the same time that the government presents the annual budget to the legislature so that the public is engaged in the discussion in time to have an impact on the legislature’s deliberations on the budget.

- It should be actively and widely disseminated using a variety of media. In some countries this will require production of the guide in more than one language.

A Citizens Budget Guide, published by IBP in 2012, notes that a citizen budget should typically include the following information (IBP CBG, 2012):

- The economic assumptions underlying the budget;
- The budget process;
- Revenue collection;
- Priorities in allocations and spending;
- Significant new measures;
- Sector-specific information and information about targeted programs;
- Budget terminology (glossary); and

- Contact information for follow up by citizens.

Every country needs to create a citizen budget in consideration of these principles and items. Some of the characteristics that a citizen budget should bear, the reasons for having a citizen budget and the key points in drafting a citizen budget are provided in Table 4.

Table 4

*Characteristics of Citizen Budget*

Some Characteristics	Value of Having a CB	Principles for Developing a CB
<ul style="list-style-type: none"> <li>• <b>Document that summarizes and explains basic budget information for a given period (fiscal year)</b></li> <li>• <b>Key insight: clear language and accessible formats in document produced deliberately for citizens</b></li> <li>• <b>Explains how the government collects, distributes and uses public resources</b></li> <li>• <b>Highlights budget priorities</b></li> <li>• <b>Presents a broad introduction to the key components of the budget</b></li> <li>• <b>Gives examples on how the budget will impact ordinary citizens</b></li> </ul>	<ul style="list-style-type: none"> <li>• Budget information is often complex and fragmented</li> <li>• Budget documents are produced to fulfill the information needs of the government (highly technical &amp; specialized language)</li> <li>• Public Budget information rarely responds to the people’s needs</li> <li>• Budget information is frequently inaccessible &amp; people do not know how to start enquiring about the budget</li> <li>• Therefore, understanding where the resources are going is difficult</li> </ul>	<ul style="list-style-type: none"> <li>• Information should be useful for public knowledge and participation (not merely propaganda)</li> <li>• Developed after identifying public's info needs</li> <li>• Should create public dialogue (interactive-feedback)</li> <li>• Should be flexible/dynamic (adaptations every year)</li> <li>• Widely disseminated (i.e. use line ministries, public buildings)</li> <li>• Should identify existent channels for public engagement (what people can do with info &amp; the opportunities for participation)</li> <li>• Part of the regular budget process (not one-off event)</li> </ul>

<ul style="list-style-type: none"> <li>• <b>Promotes transparency and access to budget information</b></li> </ul>		
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Source: IBP, *A Dialogue with Citizens on Budget Issues: The Making of a Citizen's Budget*, March 2012.

**Dissemination of the Citizens Budget**

Governments should make substantial efforts to widely disseminate their Citizens Budgets. Without broad dissemination, the very purpose of a Citizens Budget will be defeated. Effective dissemination will depend in part of choosing the right medium or media — print, radio, video, Internet, etc. Which is likely to be most effective in reaching the intended users? Answering this question involves understanding the type of information that can best be conveyed by a particular medium, as well as knowing the potential obstacles to users’ accessing it. It is essential to assess whether certain groups will have a particularly difficult time accessing Citizens Budget information. In such a case, the government should consider how that should be taken into account in choosing which medium or media to use to disseminate of the Citizens Budget (IBP CBG, 2012; Petrie & Shields, 2010; Ramkumar & Shapiro, 2010).

*Print:* To date, most Citizens Budgets have been produced in print form, whether as a one-page leaflet or a booklet of 60 or more pages.

*Radio:* Radio is used frequently by governments to convey many types of information. Generally, however, it has not yet been widely used to share budget information and to engage with the citizenry in a dialogue about the budget.

*Internet:* The Internet offers a number of benefits as a means for disseminating Citizens Budgets, particularly because it can be used in a number of different ways. A website, for one, can be a locus for storing and sharing a lot of information. Most such Citizens Budgets are in

.pdf format. However, a few are also available in interactive web-based formats for reading from the website itself, as are the Mexican and Hong Kong Citizens Budgets. The Internet could also be used to facilitate interaction between visitors to a Citizens Budget web page and government officials. Using websites and online tools to disseminate a Citizens Budget makes most sense if the intended users are educated people who have regular access to the Internet.

*Video:* Although not commonly used at this point to present Citizen Budget information, the medium of video could be a very powerful tool for presenting complex information in an engaging way.

*Text messaging (SMS):* In some countries governments already use cell phones to disseminate important information. Because they are so widely available now, this medium could also be used to provide citizens with a lot of budget information.

### **Individual cases of citizen budget by countries**

It appears that some countries draft citizen budgets whereas others create documents that are similar to citizen budget. The following are examples of how nations practice the principle of citizen budget.

#### **Kazakhstan**

A few years ago, the Center for Legal and Economic Reforms Assistance, a civil society organization in Kazakhstan, developed three types of “Citizens Budgets” to be used at the national, regional, and local levels, thereby providing a model of what could be done. In May 2011 the Kazakh Ministry of Finance (MOF) formally established a working group to develop procedures and a methodology for the production and publication of its own Citizens Budget. The working group included civil society representatives and members of National Budget Network of Kazakhstan.

Following two months of active engagement by the MOF with civil society representatives, legislation was drafted to authorize production of a Citizens Budget. The bill, which was signed into law in June 2011, covers the development of Citizens Budgets at both the central and local levels. What is unique about the Kazakh legislation is that Citizens Budgets will not only be published when the government publishes the Executive's Budget Proposal but also after the formulation, approval, implementation, and evaluation stages of the budget process. As of October 2011 the bill was already being implemented, with relevant chapters available on official websites of state agencies, including that of the Ministry of Finance, as well as local governments (IBP CBG, 2012).

### **Ghana**

Ghana published its first citizens' guide in 2006. It was produced by the Ministry of Finance and Economic Planning, with a foreword by the Minister of Finance encouraging Ghanaians to develop a culture of participation in public policy formulation, and specifically to contribute ideas to the preparation of the annual budget.<sup>18</sup> The guide started by explaining its purpose, and then summarised the 2007 "Budget Statement and Economic Policy". There were also sections on the budget cycle and contributing to the preparation of the budget (Petrie & Shields, 2010). Ghana continues to publish citizen budgets at <http://myghanabudget.org> and shares relevant information on the budgets in a simplified manner with the citizens (<http://myghanabudget.org/>).

### **Tunisia**

The design and publication of Tunisia's first Citizens Budget in December 2013 was an important milestone, marking a significant step in promoting budget transparency. For the first time in the history of public finance in Tunisia, the Ministry of Finance disseminated budget information that was not previously publicly available, including the draft Finance Bill, the Pre-

Budget Statement, and the budgets of ministries and local authorities. The publication of the 2014 Citizens Budget highlighted the positive direction that the Ministry of Finance is taking toward budget transparency.

The Citizens Budget was developed following an open and inclusive process involving civil society members of the Joint Committee on Budget Transparency. It took into consideration the results of a survey of approximately 100 civil society organizations in Tunisia that was conducted by the International Budget Partnership (IBP). Through the survey, IBP helped identify the budget information needs of civil society, which was very valuable in developing the content of the Citizens Budget. The proposal for what should be included in the Citizens Budget that came out of the survey greatly inspired the Ministry of Finance in the preparation of the final document. The 20-page Citizens Budget presents a considerable amount of budget information in a simplified and accessible way, including through numerous maps and illustrations (<http://internationalbudget.org/blog/2014/02/05/tunisia-citizens-budget-one-more-step-toward-the-open-budget/> Access: 13.03.2015).

### **El Salvador**

El Salvador's tenth edition of the "Citizens' Guide to the General State Budget" was published by the Ministry of Finance in 2007. The guide aims to make the budget more accessible so that citizens have a better awareness of the government's fiscal policy objectives and budget activities. The introduction briefly explains what a budget is, the legal basis of El Salvador's budget, and how the budget is prepared. It also provides information on the documents that constitute the annual budget law, and extensive detail on the institutional coverage of the budget. The guide then presents fiscal policy objectives for 2007, information on revenues and expenditures, and details of activities by function (including the amounts of transfers to the different municipalities). (Petrie & Shields, 2010).

## **South Africa**

In South Africa, the National Treasury issues a very short people's guide to the national budget. In an informative two/four pages, the guide briefly summarises recent and projected economic performance, presents medium-term fiscal aggregates, and describes priority areas for additional spending. A "budget highlights" box identifies key tax and spending initiatives. (<http://www.treasury.gov.za/documents/national%20budget/default.aspx>). South Africa, which ranked the highest in the most recent evaluation done by the OBI with a score of 92 out of 100, publishes its CB online in English, Afrikaans, Xulu, Xhosa and Setswana. The government's target areas for spending are clearly stated, but without much finesse or numbers. For example, the 2010 CB emphasized infrastructure to prepare for the 2010 FIFA games as well as "education, health, fighting crime, rural development, creating jobs and improving human settlements." A diagram lays out planned government expenditure and a column outlines major spending changes and tax proposals (Petrie and Shields, 2010). South Africa also has the online "Tips for Pravin" system, in which ordinary citizens can send budget suggestions to Finance Ministers. Where the public's access to the internet is limited, the citizens' budget is another way to inform the public about fiscal spending and policy, and can be published in newspapers and magazines or broadcast on radio and TV.

## **The United States**

The United States takes a different approach to their "Citizen's Guide to the Financial Report of the United States of America," which totals twelve pages and goes into much greater detail on the budget and America's financial situation. Under the title 'Where We Are Now' are sections such as 'Economy,' 'What Came In and What Went Out,' and 'What We Owe and What We Own,' which try to process an economist's report into layman's terms with the help of sub-sections such as 'Cost v. Deficit.' Each explanation is accompanied by a colorful diagram. When compared to the other citizens' guides or CBs, America's is one of the more

complex and detailed examples. (Available with other budget and financial report documents on <http://www.goa.gov/financial.html> and <http://www.fms.treas.gov/fr/index.html>, For exp. [www.fiscal.treasury.gov/fsreports/rpt/finrep/fr/14frusg/CitizenGuide\\_2014.pdf](http://www.fiscal.treasury.gov/fsreports/rpt/finrep/fr/14frusg/CitizenGuide_2014.pdf))

There are some initiatives of citizen budget on state budgets in the US as well. For instance, New York The Citizens Budget Commission is an established institution focusing on this matter at the state level (<http://www.cbcny.org/about-us>). Other examples include Colorado ([tax.i2i.org/files/2013/06/Citizens\\_Budget\\_2013.pdf](http://tax.i2i.org/files/2013/06/Citizens_Budget_2013.pdf)), New Jersey (<http://www.nj.gov/treasury/omb/publications/12citizensguide/pdf/citguide.pdf>), North Carolina ([http://www.osbm.state.nc.us/new\\_content/Citizen\\_Guide\\_to\\_Budget.pdf](http://www.osbm.state.nc.us/new_content/Citizen_Guide_to_Budget.pdf)) as states and Mariposa (<http://www.maricopa.gov/Budget/pdf/CitizenBudgetBriefFinal.pdf>), The Dallas ISD (<http://www.dallasisd.org/cbrc>), Waterloo Township, Special District practicing citizen budget and creating citizen budget committees as well as issuing guides for the citizens.

## **Guatemala**

In 2010 the Ministry of Finance in Guatemala decided to produce its first Citizens Budget in order to comply with certain laws that require it to make information available. The ministry's initiative was aided by the overt support of the country's President, who was committed to budget transparency. His endorsement was very important because the initiative faced some considerable opposition from within the ministry itself. The ministry also received an offer of cooperation and assistance from civil society groups, most particularly the Centro Internacional para Investigaciones en Derechos Humanos and the International Budget Partnership. It was in constant communication with these partners during the elaboration process and also consulted with media and other stakeholders on the content of the Citizens Budget. Publication of the Citizens Budget was supported by the German aid agency, GTZ/GIZ

(IBP CBG, 2012: 24). The document was launched with a public event and with media attention. It was published in English Spanish and four Mayan language. However maintaining the sustainability of this approach has proved to be a challenge.

### **Kenya**

The document, titled “Budget Highlights 2011-2012” and released in June 2011, was praised as a major step for the Kenyan government. The six-page CB combines simple bullet point highlights of major budget components under headlines such as “Sustaining Inclusive Growth for a Better Kenya” and “Pro-Poor Spending” with longer narratives for large projects such as irrigation farming. The Kenyan CB also lays out important numbers, such as projections for macroeconomic figures and government expenditure, by sector in simple and easy to read lists. Citizens Budget is published regularly in Kenya since 2011 ([http://www.ieakenya.or.ke/publications/cat\\_view/1-publications/7-lectures-presentations](http://www.ieakenya.or.ke/publications/cat_view/1-publications/7-lectures-presentations)).

### **Conclusion**

Public budgets are important items and documents reflecting the political, fiscal, economic and social preferences and priorities. The public budget, shaped by the policy decisions of the government, affects the distribution of public sources and individual lives. Budget, one of the fiscal tools of the public sector economy, operates to distribute the expenditures and revenues on public services through the public policies. It appears that a citizen-based approach is being employed in the provision of the public services due to a number of factors including globalization, the changing roles of the citizens and their expectations, the changing role of the state and the growing importance of the civil society groups as well as advances in the information technologies. The citizen-based administration approach which seeks to maximize the popular satisfaction and focus on the citizen in the provision of service by increasing quality in the service and ensuring clarity and transparency is extended to develop a citizen-based budgeting and citizen budget system.

All the stages and phase of the local and national budgets including drafting, approval and implementation as well as inspection concern the different segments of the society. CDD is a budgeting technique where the people are involved in different stages of budgeting including approval, implementation, evaluation and surveillance. The inclusion of the people in the budgeting processes can contribute to transparency and accountability in the budgeting and to achievement of greater efficiency in source distribution and productivity. In addition, the participation of the people in the budgeting process will contribute to public awareness of public service and taxation and to the democratic development of the country.

Citizen budget is an extension of the citizen-based budgeting. Citizen budget plays an important role in the implementation of the citizen-based approach. To ensure participation of people in the budgeting process, the budget should be reported by the people in a clear fashion. The most important goal of the citizen budget is to ensure that the people track the budget documents. The other documents include some detailed and technical information whereas citizen budget seeks clarify and simplicity. The citizen budget, thus, is not a complicated document to ensure that the people will understand its content. The language and content is carefully crafted so that the people will have no trouble understanding it. By reliance on this document, the people will know their responsibilities and become able to raise questions and views on the budget the government drafts.

In addition, the citizen budget is a means of communication between government and citizens. The people will have the opportunity of tracking down the budgets whereas the government have the opportunity of communicating their goals and policies to the people. In this way, transparency and sharing is ensured. An administration model based on transparency and participation is the main goal of the modern public administration. A number of countries developed citizen budget or similar practices under the auspices of international organizations including IBP, IMF and OECD. The IBP which works on the public budgeting assumed lead

roles in the citizen budget and published a number of guides and documents in this field; it also offered consultancy and technical services. A review of the IBP initiatives on citizen budget system since 2006 reveals that the number of countries relying on the practice of citizen budget has been increasing. This is an important development in terms of accountability, efficiency and democratic development. But the publication of the citizen budget alone is not sufficient.

It is obvious that people who are aware of where the money they paid as tax was spent and have information on the details of the budget will become more participatory. A review of the citizen budget practices published by some countries reveals that there are similar practices held by these countries. Mostly, these countries publish guides giving details on how the spending is classified and where the money is spent; in addition, they offer mechanisms for easy access to the information. Thus, publication of the citizen budget is important and necessary. However, it is not sufficient for citizen-based budgeting. To ensure that the people become more participatory in the budgeting process, some different mechanisms should be developed; this will improve the impact of the citizen budget (Şeker & Beynam, 2013: 233).

The adoption of the citizen budget and citizen-based budgeting approach at the national and local level and implementation of these practices by the administration will garner significant advantages for the government and the people as well.

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## **Ottoman-American Relations, Francis Hopkinson Smith and Armenian Issue**

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### **Abstract**

The Ottoman-American relations, started upon arrival of American merchant ships to Izmir port in 1797, gained a new dimension by signing a treaty of commerce between two states in 1830 and David Porter was assigned as an acting ambassador and moved from Algeria to Istanbul in 1831. Ottoman state gave the privileged country status to America through this treaty and vested the right to it to take advantages of all privileges. Thus, Americans came into contact with Armenians; started to give the citizenship right to them as well as taking them under its protection.

The concept, “foreigner” in Ottoman, was not the persons who were foreigner to the society, but were the guests or escrowed persons. Foreigners visited the Ottoman State either as tourists or for the purposes of business or performing a mission. There were many foreigners, especially in the port cities and the state was charged to provide their security of lives and properties. In this aspect, the foreigners were never tried wherever they were in the Ottoman State and were not disrespected. The legal status of foreigners was determined by the state with the special treaties, and the “Law of foreigners” became a current issue with capitulations in Ottomans for the first time and as a result of this, the financial, administrative and economic privileges granted had become basis for regulations related to the foreigners for a long time. Accordingly, the first informal contacts of America, having the privileged country status in Ottoman territory, began with missionary activities. The first arrival date of American Evangelical missionaries to the Ottoman Empire was 1820. This date is also related to the development of missionary movement in America. The Evangelists in the United States of America were organized under American Board of Commissioners for Foreign Missions,

briefly known as ABCFM in order to spread this sect after Evangelist movement, defined as “the Great Awakening” by early 19th century. Board decided to start a missionary movement toward Armenians in the Ottoman Armenians in 1829 and this task was assigned to William Goodell in 1831. Since an official treaty was not concluded between the Ottoman Empire and American Government until 1830, those missionaries were charged in the security of British Consulate.

Francis Hopkinson Smith, who was born in 1838, American Baltimore Maryland as the sixth generation grandson of a wealthy family in London, was the author, painter, businessman and engineer. The author, who was an incorrigible traveler at the same time, came to Istanbul where first, he loved by imagining it, then fell in love upon knowing it with a special permission between 1895 and 1897 in order to paint. The tension between Ottoman ruling and Armenians during the years, when Hopkinson Smith was in the country where he caught the opportunity to closely observe the political conditions of Empire and current tensions experienced, had reached to a serious dimensions. The artist, who was on the Ottoman side contrary to the protective attitude and supportive political tendency of his country against Armenians, published many essays related to the Ottoman’s rightfulness in the American newspapers. In this article, it will be told how the Ottoman-American relations developed from the informal missionary activities, effects of such activities on Armenians and the views of Francis Hopkinson Smith related to Armenian issues via his essays published in the American newspapers during the years when the issues emerged.

*Keywords:* Ottoman-American relations, Istanbul, Armenian issue, Francis Hopkinson Smith, missionary

## Ottoman-American Relations, Francis Hopkinson Smith and Armenian Issue

In regards to the 100<sup>th</sup> Anniversary of the Armenian deportation, it is inferred that the beginning of this issue which concerns Turkey lies within the Ottoman-American relations and that it is generated by the missionary activities. In this aspect, the article accentuates on the activities carried out in the Ottoman territories by the people and organizations who belong in one of the sects of Christianity, Evangelism, as the cause of the Armenian issue and the issue is evaluated within the framework of official and unofficial Ottoman-American relations. Moreover the abovementioned inference is reinforced in the article by introducing Francis Hopkins Smith who was a witness to the incidents that took place during the period when the Armenian tension had reached a serious stage and by determining his writings related to the Armenian Issue and Turks published in the American newspapers.

### **Ottoman-American Relations**

The first contact of America with the Ottoman State was in the north of Africa continent where it was in contact indirectly. Accordingly, the first contact in Mediterranean was due to the pirates. America, signing an agreement with Hasan Pasha, the Protector of Algeria, on September 5<sup>th</sup>, 1795 in order to make the American merchant ships navigate in safe in Mediterranean, accepted to pay \$600.000 ransom to Hasan Pasha and to recognize two States mutually as the “most-favored nations”. Pursuant to the agreement, American ships had to raise the Ottoman flag in order to navigate in Mediterranean. However, when the said ransom was not paid to Hasan Pasha, he made a threat of war until the agreement conditions were met (Özmen, 2007:199). Edward Daniel Clarke, the British mineralogist and traveler, told what he saw during the first visit of an American ship to Istanbul in his book, “Travels in Various Countries of Europe, Asia and Africa”<sup>105</sup> published in 1817. Admiral William Bainbridge was charged to deliver the ransom stipulated in 1795 agreement and the ship materials under the

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<sup>105</sup> E. D. Clarke, *Travels in Various Countries of Europe, Asia and Africa*, London 1817

leadership of George Washington's frigate to Algeria in 1800. Admiral Bainbridge had to bring some gifts and the Algerian ambassador on behalf of the Protector of Algeria to the Sultan in Istanbul. Under the normal conditions, the military navy ship needed the royal decree in order to pass through the Bosphorus. However, Bainbridge succeeded to come into the port in safe opening the greeting fire before the shocked eyed of many foreign ambassadors in Istanbul (Özmen, 2007).

Yusuf Karamanlı, the Pasha of Tripoli and Captain Richard O'Brien, the captive in Algeria in the past, concluded an agreement determining the American-Tripoli relations in favor of America in 1796. According to this agreement, America would not pay any annual tax to Tripoli; the tax was determined as \$57.000 with the gifts ad-hoc. In this agreement, Algeria acted as the mediator between the parties using its military superiority. Meanwhile, Tripoli improved its navy and became prominent as a military power with Algeria in the region. Since the supplies and money, promised to Tripoli, could not be delivered to the Pasha on time, the tensions occurred again, and America had to conclude a new agreement this time with Hamuda Pasha, the Tunisian Governor, upon pressure from Algeria in 1797. Accordingly, America had to deliver to Hamuda Pasha the military supplies and frigate worth \$180.000 of value.

The task was completed thirteen years after the American Congress charged Benjamin Franklin, John Adams and Thomas Jefferson to negotiate on peace agreement with Barbary forces; financially, it cost \$1.25 million. But, it appeared that America was not able to pay such amount in a period when France captured more than three hundred American ships. Then, Yusuf Pasha, the Pasha of Tripoli, declared war against America on May 14<sup>th</sup>, 1801, as the requested tax was not paid. America was, for the first time, ready for war in its history of relations with Barbary countries (Özmen, 2007). American Congress accepted to send a permanent fleet to Mediterranean and the war declaration in 1802.

The plan of William Eaton, the first consulate in Tunisia, related to this war was to keep Yusuf Karamanlı out benefiting from Hamit Karamanlı, his brother in exile. The President Thomas Jefferson, who advocated war in the relation with the Barbary countries since the very beginning, approved William Eaton's plan. Accordingly, Hamit would fight on behalf of America with his mercenaries; American fleet would support him from the sea and thus, as Hamit would take control in Tripoli enabling American ships to trade in safe in Mediterranean. Derna, besieged both from land and sea was taken under the control of America on April 29<sup>th</sup>, Derna Fortress was laid siege and the American flag was raised in the fortress (Bostanoğlu, 2007:220). However, meanwhile America desired to take the Tripoli Port under its control, Philadelphia frigate was captured by Yusuf Karamanlı Pasha. As a result of those events, Yusuf Karamanlı offered peace. Hence, even if America could not win a military victory throughout Tripoli, it guaranteed the trade's safety in Mediterranean through the agreement which it made the best under these circumstances. After Hamit Karamanlı maintained his life with the support from American government in America for a while, he was sent back pursuant to the agreement with Yusuf Karamanlı; as he was living with his family in Tripoli, he escaped to Egypt upon occurring of conflicts (Özmen, 2007).

The first war of America against the terror in its history was the war against Algeria, the Ottoman Province during 1801-1805, and this was the first "conflict between the civilizations", the new conflict of crescent and cross (Bostanoğlu, 2007:219-220).<sup>106</sup> The persons, whom the Northern African provinces such as Tripoli, Algeria, Tunisia were entrusted to, were called the "Protector-Dey" and the governorship was assigned upon declaration of dependency to Bâbîâli. America, concluding an agreement with Ömer Pasha, the Protector of Algeria in 1815, would both increase its trade in Mediterranean and focus on establishing its power in Caribbean and

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<sup>106</sup> Frank Lambert, *The Barbary Wars: American Independence in The Atlantic World*, (2005)

South America regions through the income obtained from Mediterranean in its sphere from that period (Bostanoğlu, 2007).

Thomas Jefferson assigned an American Consul to Izmir considering the continuing trade between two countries in 1802, but Ottoman Government did not feel the need to recognize this consul.<sup>107</sup> As long as those two states did not recognize each other, America had either to pay six percent customs duty instead of two percent or to trade in the care of Levant Company of UK and to pay almost the same difference to UK as the consulate tax.<sup>108</sup> Contrary to America, Ottoman Empire did not need such agreement. In spite of this, the trade volume between two states continued to grow until the agreement was signed. Especially, since many American groups provided support via ships to Greece without state support during the independence fight of Greeks, Bâbîâli acted with suspicion toward America and therefore, Ottoman did not want to conclude an agreement with America. However, when almost entire Ottoman navy was burnt down by the British-French-Russian navies in Navarino, in 1827, seeking of Ottoman a new alliance simplified the America's work (Özmen, 2007).

The important result of the first war of America in Mediterranean was transformation of its commercial relations with Ottoman into an official form via diplomatic ways. Among the partners of company that was incorporated by the American businessmen, David Offley and Woodman in Izmir, 1811, Offley was assigned the first US Consul in 1824, and during that period, America spent more effort to develop the relations rather than Ottoman; because Ottoman did not have any commercial expectation from the other side of Atlantic, and was suspicious toward America. However, Ottoman, lost many ships in Navaro, which caused him to seek foreign aid in order to rebuild its navy and concluded the "Seyr ü Sefâin ve İcrâ-i Ticâret Antlaşması" (Navigation and Trading Treaty) with America in 1830. A confidential supplement

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<sup>107</sup> David H. Finnie, *Pioneers East: The Early American Experience in the Middle East*, (Cambridge, Massachusetts: Harvard University Press, 1967), p.25.

<sup>108</sup> Nurdan Şafak, *Osmanlı- Amerikan İlişkileri [Ottoman-American Relations]*, Osmanlı Araştırmaları Vakfı, İstanbul 2003, p.98.

provision of the treaty stipulates that America would build the battleships for Ottoman. When it was understood that the Senate would not accept it, the provision was omitted from the Turkish text, but kept in the English version.<sup>109</sup> This “Confidential Provision” includes that if Ottoman required, America would start to build the ships in the required size in the American dockyard using the American timbers purchased at the cost price and the ships would be delivered to Ottoman after the contract was signed. Ottoman aimed to rebuild its navy by the virtue of this provision. Following the American Senate’s disapproval, in 1831, Andrew Jackson sent David Porter from Algeria to Istanbul as the diplomatic agent to deliver a letter, notifying that the confidential provision was not approved because the treaty would be imperiled due to the confidential provision that the senate did not approve, and turning from this point, where it was reached as a result of tiresome efforts, meant that such opportunity could not be caught again.<sup>110</sup> David Porter, assigned as the diplomatic agent, had become the ambassador in 1839 and counter-embassy could just be established in 1867 (Bostanoğlu, 2007).

The US Government, guaranteed to Sultan Mahmut II who stated his dissatisfaction against disapproval of this confidential provision that David Porter would provide all aids and support on the matters of buying and building of battleship. This commitment was fulfilled, and first, Henry Eckford and then, Foreman Foster Rhodes continued to build the battleships for Ottoman navy until 1840. Bâbiâlî requested from America to charge the American officers in Ottoman navy in 1836, but American Government stated that only the retired officers could be charged (Özmen, 2007). Since 1850, the officers from Imperial School of Naval Engineering visited USA in order to learn the ship building; in this context, America had great contributions to the Turkish naval. Henry Eckford<sup>111</sup> managed the building of American-origin battleships,

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<sup>109</sup> Omission of confidential provision from the Turkish text and keeping it in the English version is the indicator of America’s “isolationist” policy, and existence of the USA’s desire of transforming it into the world policy, where applicable from the beginning (Bostanoğlu, 2007:221).

<sup>110</sup> Çağrı Erhan, *Türk Amerikan İlişkilerinin Tarihsel Kökenleri [Historical Origins of Turkish American Relations]*, İmge Kitabevi, Ankara, 2001, p.129.

<sup>111</sup> In the articles of Özmen and Bostanoğlu, the name of the person who managed the building of battleships for Ottoman are mentioned differently; as Özmen mentions the name of the person as “William Eckford”, whereas

and FosterRhodes built the first steamboat in Istanbul. By that period, the rifle was purchased from the US for the Ottoman army and the surplus of rifles from the American Civil War were used to enhance the military measures which Ottoman Empire, began to disintegrate, assumed as a unique solution<sup>112</sup> (Bostanoğlu, 2007).

The political interest of America started and developed depending on the economic attraction centers in Ottoman; in this regard, Mediterranean had a leading role. In 1862, America reinforced its status of “Most Favored Nation” by concluding a new “Navigation and Trading Treaty”. The first initiation of Turkey to open to the foreign capital from America occurred during the last days of Ottoman Empire; it was discussed again after Republic. This initiation, also called “Chester Project”, proposed the building of railway network in Eastern Anatolia. Colonel Colby M. Chester is the commander of ship which visits Istanbul in 1900. The rich business opportunities in the Ottoman territories attracted his attention and he proposed the project due to insufficient transport network. İttihat ve Terakki (Solidarity and Progression) was interested in the project just after 1908 in order to hold the administration in its hand. Chester submitted his proposal to Meclis-i Mebusan (Chamber of Deputies), assumed to build the railway and incorporated a company, called “Ottoman-American Development Company” (OADC). The project to be built by adding it to the existing line would go from Sivas to Black Sea, to Suleymaniya via Harput, Ergani, Mosul and Kirkuk, to Van and Halep, and to Mediterranean. The possibility of which USA might intervene in the oil in Mosul and Kirkuk displeased UK and France. Even though Chester reestablished the company after the First World War, when the disputes occurred between the partners, the company could not finance the project and Turkey cancelled the project at the end of 1923 (Bostanoğlu,2007).

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Bostanoğlu mentions “Henry Eckworth” for the same person. However, according to the source, “famousamerican.net<http://famousamericans.net/henryeckford/>”, William and Henry Eckford were brothers and since it was stated that the most famous ship engineer in USA during 19<sup>th</sup> century was Henry Eckford, the person, who managed the building of battleships for Ottoman, was Henry Eckford; died in Istanbul on 12 November 1832.

<sup>112</sup> Ercüment Kuran, “19. Yüzyılda Osmanlı Türklerinin Amerika’yı Tanıması [Recognition of America by Ottoman Turks during 19<sup>th</sup> Century], 500. Yılında Amerika, (Der.) [America in its 500<sup>th</sup> Year (Journal)] Recep Ertürk, Hayati Tüfekçioğlu, Bağlam Yayınları, İstanbul 1994, p.39.

America that declared war to Germany, did not declare the same to Ottoman Empire during the First World War; but Ottoman Empire cut off its all diplomatic relations with America upon pressure from Berlin in 1917; as doing it, it apologized and did not intervene in the American schools and mission in its territory. The political relations between America and Turkey were intensively brought to the agenda after the First World War; even some intellectuals such as Halide Edip Adivar considered the American mandate as the salvation of the country pursuant to the Article 22<sup>113</sup> of League of Nations. During the Sivas Congress, the “mandate” idea was completely refused (Bostanoğlu, 2007).

As stated above, the American-Ottoman relations, started with American merchant ships visiting Izmir port in 1797, had gained a new dimension after concluding a trade agreement between two states in 1830 by which Ottoman Empire gave the privileged country status to America and granted it the right to benefit from all privileges. Thus, Americans took contact with Armenians; and conferred the citizenship to them as well as taking them under their protection. (Ertuğrul, 1998).

The concept, “foreigner” in Ottoman, was not the persons who were foreigner to the society, but were the guests or escrowed persons. Foreigners visited the Ottoman State either as tourists or for the purposes of business or performing a mission. There were many foreigners, especially in the port cities and the state was charged to provide their security of lives and properties. In this aspect, the foreigners were never tried wherever they were in the Ottoman Empire and were not disrespected. The legal status of foreigners was determined by the state with the special treaties, and the “Law of foreigners” became a current issue with capitulations in Ottomans for the first time and as a result of this, the financial, administrative and economic privileges granted had become basis for regulations related to the foreigners for a long time (Ertuğrul, 1998). Accordingly, the first informal contacts of America, having the privileged

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<sup>113</sup> The mandate is defined as a “holy civilization task” which would bring the nations that fail to manage themselves to the self-determination position.

country status in Ottoman territory, began with missionary activities. The first arrival date of American Evangelical missionaries to the Ottoman Empire was 1819. This date is also related to the development of missionary movement in America. The Evangelists in the United States of America were organized under American Board of Commissioners for Foreign Missions, briefly known as ABCFM in order to spread this sect after the Evangelist movement, defined as “the Great Awakening” in 1810 by the early 19<sup>th</sup> century.

The American Priest George W. Dunmore, who visited Ottoman in order to carry out a preliminary examination to spread the Evangelism, stated that Harput Plain was the most convenient place in the Ottoman territory with regard to the missionary activities in his report to the center in Boston; and the Board decided to take Ottoman territories into its program according to Dunmore’s report in 1819. (Ertuğrul, 1998). Sixty missionaries were charged in Middle East during 1819-24 and American Evangelist youths were encouraged for this task. Meanwhile, it was thought-provoking that those dates coincided with the Greek uprising in Mora, 1821 (Yorulmaz, 2010). In 1829, the Board decided to start a missionary activity toward Armenians in the Ottoman Empire and William Goodell was charged with this task in 1831. Since any official treaty was not concluded between the Ottoman Empire and American Government until 1830, those missionaries were charged in the security of British Consulate<sup>114</sup> (Özmen, 2007).

The primary aim of this Board was to manage the American missionaries in order to spread the Evangelism in the world starting with the Native Americans and moving towards USA and then to the continent. It was essential that the missionaries must have developed the communication with the local people by establishing charity institutions, education and health centers, have enabled them to read the Bible by teaching the language and have introduced the Evangelist doctrines in the far countries where they were charged. Evangelist-origin “American

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<sup>114</sup> Çağrı Erhan, *Turkish-American Relations: past, present, future*, London 2004, p.12.

Missionary Board” preferred to spread its belief by establishing schools, instead of churches in the Middle East. Levy Parsons and Plinky Fisk were the first American missionaries who visited Ottoman Empire for this purpose. Since the Ottoman American relations was the minute amount during the period when these two missionaries arrived to Izmir, the knowledge of pioneers related to Ottoman Empire was only that they were in an Islamic country having a cosmopolite nature. Their desire was to make the Muslims and Jews became Evangelist in that country. However, they learnt in a short time that the huge religious toleration, which they heard about the empire management, was not valid for the Muslims, and that the Islamic person might be punished with death, if he/she tergiversated<sup>115</sup>. They also found that Jews did not have any sectarian problem, were not tending to tergiversate. So, they ended their limited activities on Jews in 1856<sup>116</sup>. In order to avoid damaging their relations with Jews and Ottoman management, leaving aside the Muslims, they turned towards Armenians, the nation that accepted the Christianity first and Nasturi, the Catholic Arabs.

Recently after arrival of two missionaries to Izmir, the American missionary activities grew fast due to trade treaty, as we mentioned above, between America and Empire in 1830, the political situation of the country during that period, and even giving<sup>117</sup> the “nation” status to Evangelists in 1850. It was found that the number of Evangelist Armenian, 15.000, at that time, reached to 20.051 as the registered Evangelists during 1870’s (Yorulmaz, 2010). Ottoman Empire, entered into a period of fast regression, was faced with the independence uprisings of various nations against the state. Government needed to prevent such uprisings in order to protect its integrity, and promised to the non-Muslims, called minority assurances, rights and reforms. Ottoman Armenians sought the assistance of European countries in order to get such reforms implemented, and especially, they trusted Russia. The management, which refrained

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<sup>115</sup> Ziya Enver Karal, *Osmanlı Tarihi*, [Ottoman History], Cilt VII, Ank. 1958, p. 6.

<sup>116</sup> Frank A.Stone, *Academies for Anatolia*, Boston 1984, p. 45.

<sup>117</sup> Enver Ziya Karal, *Osmanlı Tarihi* [Ottoman History], Cilt: VIII, Ank. 1958, p. 128.

from Russia getting close to Ottoman Empire with the imperialist intentions, preferred to trust America which it believed that it was away from the similar intentions and was impartial compared with the European countries, and welcomed the contact of Americans with Armenians. On the other hand, Armenians under the pressure of Gregorian Church rapidly accepted the soft and simple Evangelism offered by the American missionaries that approached to them with their mother tongue and in a humanist manner (Akgün, 1988).

Within this communication, American missionaries continued to get closer to the people first developing education, then health services. In a short time, they spread their activities to the farthest corners of Empire. During the course of time, they were organized in the Eastern, Central and Western Turkey, then in the task regions defined as Syrian Mission. In such organizations, they introduced themselves to and were adopted by the people using the known methods of missionary. They presented very modern lives incomparable with of Anatolian people and became incentive. In particular, they focused on the Eastern and Southeastern Anatolian regions where the government could not reach and no service could be provided due to the various impossibilities. They gathered the children together in the nurseries, schools and kindergartens that they established, and had effect on the children, thus on their parents and families (Akgün, 1988).

Ottomans were not yet very familiar with America. However, even though the missionaries directed their school and church activities towards Armenians, it was natural that the Turks, who lived in same manner as and together with Armenians, were affected from changes that they observed from their Armenian neighbors. In addition, since there were many women among the missionaries, it facilitated them to mingle with the Turkish women as well as with the Armenian women. Even if the American-style life drew reaction from the Turkish people that were not used to it beforehand, the health services provided by the missionaries to Armenians and Turks without discrimination affected the Turkish people soon. Missionaries

were making their propagandas visiting the homes, and sermonizing in the church and coffee houses. However, the schools and health centers were more efficient to communicate with and penetrate into the Turks. It was not common application to admit the Turkish children to these schools. But as much as the number of schools increased, the admittance was increasing minimally and those, who were educated in such schools, opened one window of schools to their homes, families and relatives (Akgün, 1988). Based on these common relations, the American missionaries and Turkish people met directly and indirectly.

Missionaries developed their indirect relations with Turks in order to obtain the permissions on the matters such as continuing their activities, traveling in Anatolia, publishing the religious books or course books to be used in the schools, establishing the printing house for this purpose, renting the house-school buildings, even purchasing them, establishing and developing the educational institutions, and to solve the disputes arising from such matters. Even though the Ottoman officials were the officials of an Islamic state, and the missionaries were the persons who tried to take place in order to spread the Evangelism in this Islamic country, as almost all missionaries confessed, they were welcomed with tolerance and kindness in all their applications. Again, according to what they told, they did not face with any political obstructions. Even they were accepted before the Sultan. One of the missionaries, Cyrus Hamlin, who attracted the attention to this subject and was the founder of Robert College, wrote that he was accepted by Sultan Abdulmecit and the Sultan wished him success, when he first arrived to Istanbul<sup>118</sup>(Akgün, 1988).

The missionaries increased their activities benefiting from the expansion of the political and legal rights granted through 1839 the Imperial Edict of Gülhane and 1856 the Royal Edict of Reform. Various religious organizations started intensively to visit the Ottoman territories in order both to spread their religion and to use the Christians in Ottoman against the state.

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<sup>118</sup>, CyrusHamlin, *America's Duty to Americans in Turkey*, The North American Review, No. 478, Eylül 1896, p. 278.

The missionaries, who were closely in relation with policy and even worked under the order of policy during that period, showed the remarkable achievements through the supports by the countries where they came from. They spread their activity areas towards the farthest corner of country such as village, town, and began to obtain the results of their works.

Because of this, it is clearly seen the effect of such activities by the missionaries on which the minorities became the independent countries each through the support of Western countries as a result of uprisings during the period when Ottoman was becoming weak. Likewise, the missionary activities had the major impact on independence of Greece in 1829, Bulgarian in 1908 and Arabian territories after the First World War from Ottoman. More importantly the education provided in the foreign colleges established by the missionaries had quite an effect on the lack of a common idea or ideal among the intellectuals in our country<sup>119</sup> (Sezer, 2011 <<http://www.ait.hacettepe.edu.tr/akademik/arsiv/misy.htm>>).

There was a religious aspect in spreading the schools by American missionaries who preferred to spread their belief through opening schools in Middle East, instead of churches, because their aim was to spread the Evangelism and make Armenians become Evangelist; thus, they established an Armenian society that had the financial and religious connections with USA in the Ottoman territories. Firstly, the core of American University was created in Beirut in 1824. Then, they enhanced their activities on opening schools in various Anatolian cities and the provinces such as Istanbul, Izmir. From 1870, they continued to open schools in the regions, especially where mostly the Christian minorities lived in Anatolia. Most of American schools, established through American missionaries, were the primary schools teaching read-write and four operations. However, the status of secondary school sections of those schools and the colleges was different. The managers of them were not ordinary missionaries, but the qualified

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<sup>119</sup>Yusuf Akçuraoğlu, "Emel (İDEAL) [*Aim (IDEAL)*]", *Türk Yurdu*, sayı:16, 14 Haziran 1328, p.489-490.

persons, sent from USA. The course books were in English. In some cases, their costs were met by the missionary institutions which USA was supporting<sup>120</sup> (Ertuğrul, 1998).

The thing which was requested from the American missionaries, who were working under the protection of British foreign affairs until 1880's, was intelligence by mingling in the people in the territory where they were sent to. In particular, it was to determine the religious belief of people, to obtain information about the religious functionaries (their numbers, knowledge levels, education levels, etc.), to determine the academic situation in the country and to learn the mood of people. After they were obtained, it would be determined what kind of work would be carried out. The other thing requested from them, was to do everything necessary "... to retrieve these holy and promised territories through a weaponless crusade"<sup>121</sup>. The missionaries, started to work for this purpose, carried out miscellaneous Evangelization activities through their primary, secondary and high schools, printing houses, hospitals and charity institutions as well as the missions.

The number of schools significantly increased as a result of missionary activities accelerated from the second half of 19<sup>th</sup> century, and the American missionaries, who worked especially in the regions where mostly Jewish and non-Muslim minorities lived, divided the Ottoman territories into four mission regions in order to achieve their objectives. Those were the Europe, Western, Eastern and Central Turkish Missions.

The European Turkish Mission covered Filipe, Thessaloniki and Bitola, and worked to increase the awareness of Bulgarians. The Western Turkish Mission covered Istanbul, Izmit, Bursa, Merzifon, Kayseri and Trabzon, and the Eastern Turkish Mission covered the entire Eastern Anatolia up to the Russian and Iranian borders as well as Harput, Erzurum, Van, Mardin and Bitlis. The Central Turkish Mission covered the region from the south of Toros Mountains

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<sup>120</sup> F. Anrews Stone, *Academies For Anatolia*, The University of Connecticut, 1984, p.4-5.

<sup>121</sup> Uygur Kocabaşoğlu, *Kendi Belgeleriyle Anadolu'daki Amerika [America in Anatolia in American Documents]*, Ankara, 1989, p.30-33.

to the Fırat river valley (especially, Maraş and Antep provinces were important). The works of the last three missions on Armenians attracted the attention.<sup>122</sup>

As a result of the extremely organized and planned activity, they both spread their sect and helped the implementation of imperialist policies of their countries by affecting the minorities such as Bulgarian, Greek, etc. notably Armenians and separating them from Ottoman.

The most important Evangelist colleges were opened in the centers like Istanbul and Beirut. It is known that among them, Robert College, opened in Istanbul in 1863, played an important role to educate the staff providing the independency of Bulgaria. Likewise, most of the graduates of this College, which its founders, managers and many lecturers consisted of missionaries, between 1863 and 1903, were Bulgarian students. Again, five of the first Bulgarian graduates of the College were the prime ministers of Bulgaria and at least one graduate from Robert College took part in the Bulgarian cabinets before the First World War. Teaching almost fifteen different languages notably Bulgarian and Armenian as well as western languages such as English, German and French in the College, which applied an intensive curriculum, is important in regards to showing the versatile aims of College.<sup>123</sup>

Ten missionaries, twelve American missionary assistants and 81 local persons were charged in the European Turkish Mission working for Bulgarians in 1899. The number of Evangelist Churches in the region reached to fifteen. During 1870-80's, half of works that were printed in the printing houses established by missionaries in Istanbul were in Bulgarian and this is the indicator of significance of works on this issue.

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<sup>122</sup> Bilal Şimşir, "Ermeni Propagandasının Amerika Boyutu Üzerine [About American Dimension of Armenian Propaganda]", *Tarih Boyunca Türklerin Ermeni Toplumu ile İlişkileri*, Ankara 1985, p.92-93; Uygur Kocabaşoğlu, "Doğu Sorunu Çerçevesinde Amerikan Misyoner Faaliyetleri [American Missionary Activities based on the Eastern Issue]", *Tarihi Gelişmeler İçinde Türkiye'nin Sorunları Sempozyumu*, Ankara, 1992, p.68, 92-93; George E.White, *Adventuring With Anatolia College*, First Edition 1940, Grinnel, Iowa, p.11.

<sup>123</sup> Keith Maurice Greenwood, *Robert College: The American Founders*, The Johns Hopkins University, Ph D 1965, p.101-104; Who is Who RC-ACG Alumni Community, RC-ACG Mezunlar Topluluğunda Kim Kimdir?, İstanbul 1985, p.21; Seçil Akgün, "Amerikalı Misyonerlerin Ermeni Meselesindeki Rolü [Role of American Missionaries in Armenian Issue]", *Atatürk Yolu*, Mayıs 1988, yıl:1, sayı:1, p.1-13.

Except “American Board”, “Methodist Episcopal Mission”, another American Missionary organization that worked to evangelize the Bulgarians, also established the “Mission” center in Bulgaria, 1858.

It is known that the Evangelist College in Beirut was also performing the same task as Robert College undertook for Bulgarians established by the American missionaries in Istanbul by increasing the awareness of Arabs and provoking them against Ottoman.

Except those two Colleges, many American missionary colleges in Anatolia carried out the similar activities mostly towards Armenians. Some of them are as follows: The first American missionary center in Anatolia was established in Harput, 1852. At the same place, “Armenian College”, Ottoman called “Fırat College”, opened in 1878, was intended to educate the Evangelist priest and to educate Armenians about their language, history, literature and nationality. During the same period, the colleges such as “Anatolia College” in Merzifon, “International College in Izmir and the American College for girls, “Central Turkey Colleges” both for girls and boys in Antep and Maraş, and St Paul Institute in Tarsus were initially educating the children of Christian minorities, increasing their awareness on national feelings and as a result, made them upraised against Ottoman State. The missionaries, who educated the minorities in this manner internally, worked to influence the western world in order to make them act against Ottoman Government by propagandas such as, “Turks cut the Christian people off!” using the suppression of uprisings that occurred through their own provocation in order to turn the American and European public opinion against Turkey externally. The well-educated Armenians were brought to USA and after many of them acquired the American citizenship, they turned back to Ottoman territories and requested the reforms in favor of them by making independency propaganda.<sup>124</sup>

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<sup>124</sup> Seçil Akgün, “Amerikalı Misyonerlerin Ermeni Meselesindeki Rolü [Role of American Missionaries on Armenian Issue]”, *Atatürk Yolu*, Mayıs 1988, yıl:1, sayı:1, p.9-10. It is estimated that more than 60 thousand Armenians immigrated to USA until 1914. Ercüment Kuran, “ABD’de Türk Aleyhtarı Ermeni Propagandası [Armenian Propaganda Against Turks in USA]”, *Uluslararası Terörizm ve Gençlik Sempozyumu Bildirileri*, Sivas 1985’ten ayrı basım, p.55-56.

For example, after the American Evangelist Doctor, Meyton, educated some girls from Syrian Nusayrî in the school in Mersin, he brought them to America; and after those girls were educated very well on Evangelism there, they came back and were charged in Adana and surroundings and indoctrinated those in their own societies. Some Evangelist priests and nuns purchased lands in Adana and surroundings, and made the initiations such as opening new schools which its political intentions were clearly seen<sup>125</sup> (Yorulmaz, 2010).

As clearly understood from the information briefly given above, the “American Board” organization assumes most of missionary activities in the Ottoman territories. Almost 30% of these activities were carried out by the aforesaid organization. Hence, as a result of such intensive and effective works of the “American Board” and other organizations, the missionaries played the mediator role for USA to create the economic, social and cultural lives in the Middle East from 1880s. The Evangelist missionaries, who initially worked towards Armenians and Bulgarians, were also, then, affective on Greeks, Christian Arabs, Nasturi, Assyrians, Kurds and Jews.

In particular, they played a role on uprisings of Kurds and Nasturi through their works carried out in the Eastern and Southeastern Anatolia regions. Since the 17<sup>th</sup> century, the French and Italian Catholics, visiting the region, had also big contribution to this event.<sup>126</sup>

Ottoman Government could not audit those institutions because of the interventions from the Foreign States due to the capitulations. Thus, as it was emphasizing the enmity towards Islam and Turks in the aforesaid institutions on one hand, the Turkish language was taught insufficiently on the other. Furthermore, insufficiency of public educational institutions in some

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<sup>125</sup> Atilla Çetin, “Maârif Nazırı Ahmet Zühdü Paşa’nın Osmanlı İmparatorluğu’ndaki Yabancı Okullar Hakkındaki Raporu [Report of Ahmet Zühdü Pasha, the Minister of Education on Foreign Schools in the Ottoman Empire]”, *Güneydoğu Avrupa Araştırmaları Dergisi*, Sayı:10-11, 1981-82, p.201.

<sup>126</sup> *National Archives of the United States*, M.C, 1107/20, *Report on the Assyrian Christians by David Magie*, report, dated August 24, 1918.

regions led to increasing of interest in the missionary schools. As almost 20.000 students were educated only in more than 400 American schools in 1900's, the number of Ottoman high school and college during the same period, was 69 and had almost 7000 students. Again, during the same period, the total number of foreign schools owned by missionaries in the Ottoman territories was about 2.000. If the minorities' schools were added to them, the number approached to 10.000 (Sezer, 2011).

Armenians had the minority status in the Ottoman Empire; according to the Ottoman's view, even if the "minority" had the minority identity and name, it meant the societies that their lives and rights were not more different than Muslim people.<sup>127</sup> Most of the minorities based on the "nationality" during the Ottoman period consisted of Greeks, Armenians and Jews (Ertuğrul, 1998). Armenian society was promoted from second class human-being which they were suffered during the centuries to the first class human-being under the Turkish ruling, after Anatolia was made by Alparslan, the Seljuk Sultan a Turkish land through Malazgirt War in 1071<sup>128</sup>.

Seljuk Turks conquered Anatolia from Byzantium Empire, not Armenians by the end of 11<sup>th</sup> Century and made it a Turkish land. The modern Armenian sources; Matheos from Urfa, Aristakes, Sebeos and Assyrian Mihael, welcomed Turks' victory against Byzantium and making Anatolia a Turkish land with a great satisfaction, because throughout the history, the Byzantium and Iranians were the ones who tyrannized over Armenians and Assyrians, massacred them, forced them to immigrate, and banned their sect and churches. The Armenian Author Matheos confessed, "Melikşah, the most lawful, intelligent and powerful of all the human beings, was as if he was a father to all people. All Greeks and Armenians went under the ruling of him in their free will". Assyrian Mihael, from one of the modern sources, writes

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<sup>127</sup> Yılmaz Öztuna, *Büyük Türkiye Tarihi [The Great History of Turkey]*, Cilt:10, İstanbul, 1983, p.266.

<sup>128</sup> Solmaz Aydın, *Ermeni Meselesi [The Armenian Issue]*, Büyük Matbaa, İstanbul, 1979, p.76.

the following; “Turks don’t intervene in the belief and religion of anybody unlike malicious and tyrant Greeks, and don’t implement any pressure and oppression” (Bahadır Tunçay, meb.gov.tr

<[HTTP://MEBK12.MEB.GOV.TR/MEB\\_IYS\\_DOSYALAR/43/10/354365/DOSYALAR/2013\\_04/19123334\\_1915ERMENTEHCR.DOCX](http://MEBK12.MEB.GOV.TR/MEB_IYS_DOSYALAR/43/10/354365/DOSYALAR/2013_04/19123334_1915ERMENTEHCR.DOCX)> )

Armenians gained more rights upon conquering of Istanbul by Sultan Mehmet, the Conqueror. Even, the Conqueror brought Armenians who lived with their families in Bursa to Istanbul in 1461 and permitted the establishment of Armenian Patriarchy in Istanbul announcing the Bursa Metropolitan Bishop Ovakim as the patriarch. Then, the Assyrian, Coptic and Abyssinian churches were also attached to the Armenian Patriarchy<sup>129</sup>. Thus, Armenians established their churches and schools under the ruling of Ottoman, and revitalized their cultures and language which began to disappear<sup>130</sup> (Ertuğrul, 1998).

During the period from conquering of Istanbul to the end of eighteenth century, no Armenian institution having the “school” qualification within the territories of Ottoman Empire is found. Even though it is clear that there were some institutions specialized on religious education for Armenians until 1790, they maintained their existence temporarily only through individual dominations<sup>131</sup>. For example, it is known that Armenians, settled in Kumkapı and surroundings after conquering of Istanbul, had a school, called “Mangantz Varnjadun” (Children Training House) and that, again, the children were educated in the Armenian Church located at Kumkapı<sup>132</sup>. On the other hand, it is mentioned that by the beginning of 15<sup>th</sup> century, a school was established in the monastery, called Amlorti about Bitlis and the philosophy and logic were taught there, besides theology. Those, who were graduated from that school, opened

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<sup>129</sup> Yavuz Ercan, *Türkiye’de 15. Ve 16. Yüzyılda Gayr-ı Müslimlerin Hukuki ve İctimai Durumu [Non-Muslim’s Legal and Social Status in Turkey in the 15<sup>th</sup> and 16<sup>th</sup> Centuries]*, TTK Basımevi, Ankara, 1983, p.1134.

<sup>130</sup> Mitat Sertoğlu, *Osmanlı Tarih Lugatı [The Wordbook of Ottoman History]*, İstanbul, 1987, p.44.

<sup>131</sup> Osman Ergin, *Türk Maarif Tarihi [History of Turkish Education]*, Cilt: 1-2, İstanbul, 1977, p.750.

<sup>132</sup> Necdet Sevinç, *Ajan Okulları [Intelligencer Schools]*, İstanbul, 1975, p.209.

new schools going throughout the country. Since the Bitlis School, which indicated a significant progression and improvement in 1710, began to teach sciences, it was called “Ottoman University”. Moreover, a Latin priest, Kiegemes Kalanos, visited Istanbul in 1641 and educated the Armenian children who lived around Galata. This person also provided the education with Armenian priest cloth in the Patriarchy<sup>133</sup>.

The Priest Apraham turned his home into a school in Üsküdar, 1706. The priest Mihitar from Sivas educated the Armenian children in Istanbul/Beyoğlu, 1710. The patriarch, Ohonnes Golod, opened a school in Üsküdar in 1715 and educated the priest candidates on theology and philosophy. A school for girls was established under the cover of Patriarch Nalyan in Kumkapı during 1741-1745, and in 1752, Simon from Erivan established a school in the Armenian Church in Balat. In fact, the intellectual awakening among the Armenians began through American missionaries from the end of 18<sup>th</sup> century. The theological information was dominant in the education provided in the Armenian schools until such time (Taşdemirci, 2001).

Armenians, lived under the authority of Ottoman Empire, were dominantly active in many fields of profession; for this, they had a significant impact on the country’s economy. A lot of Armenian-origin doctors, goldsmiths, architects. Craftsmen and wholesalers grew in Istanbul and freely practiced their professions. This is important showing the huge tolerance and understanding of Ottoman ruling <sup>134</sup> (Ertuğrul, 1998).

Armenians were the society which always had the significance in the Ottoman ruling. In the Assembly established after the declaration of the Constitutional Monarchy, there were 9

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<sup>133</sup> Barlas Uğuroğlu, *Gaziantep Tıp Fakültesi ve Azınlık Okulları [Gaziantep Faculty of Medicine and Minority Schools]*, Karabük 1971, p.51-98. ;Erol Kırşehirlioğlu, *Türkiye’de Misyoner Faaliyetleri [Missionary Activities in Turkey]*,İstanbul, 1963, p.16-36, 81-82, 143-167. ; Nahit Dinçer, *Yabancı Özel Okullar [Foreign Private Schools]*, İstanbul, 1978, p.52-60, 69-71.

-Edwart Engelhardt, *Türkiye ve Tanzimat [Turkey and the Imperial Edict of Gülhane]*, (Çev. Ayda Düz), İstanbul, 1976, p.42-46, 202-224, 302-315. ; Edgar Granville, *Çarlık Rusya’sının Türkiye’deki Oyunları [Political Games of Czarist Russia on Turkey]*, Ankara, 1967 p.9-91.

<sup>134</sup> Solmaz Aydın, *Ermeni Meselesi [Armenian Issue]*, İstanbul, 1979, p.69.

Armenian deputies including the deputy of Assembly President. Considering that there were 33 deputies, 22 generals, 7 ambassadors, 11 consuls, 17 lecturers, 41 senior civil officers in the Ottoman government, it is understood how they were efficient and even they had more authorizations than their status of minority allowed. Armenians, having such broad rights and freedom, forgot their loyalty towards the government and began the preparations to accomplish the goal of establishing an independent Armenian State. For this, they opened a printing house in Istanbul in 1567 and started their first serious activity in this direction; Armenian missionary organizations in the cities such as Paris, Moscow, Tbilisi sent students to the education centers for this purpose and educated the “Action Man”. Armenian missionaries who were settled in too many locations in Anatolia, were efficient through the schools and periodicals published by the culture associations, books and propagandas. Hence, they established many associations and collected them under the “Armenian Consolidated Association” after 1879<sup>135</sup> (Ertuğrul, 1998).

Very broad rights were vested by Sultan Abdülaziz to Armenians and Greeks such as becoming a state in a State through “Armenian Nation Regulations” in 1863. So that Armenians had the right to be managed by an Assembly with 140 parliamentarians that they would establish themselves through this regulation. Then, Armenian spiritual leaders carried out the works for awakening the national feelings towards “An Independent Armenian State” under the name of “religious activities” with the opportunities that were provided to Armenians. Those Armenian religious functionaries always mentioned the enmity against Ottoman State in the monasteries, churches and schools; with this comprehension, they were the planner and manager of all Armenian incidents from the beginning to the end in the course of history, and

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<sup>135</sup> Necla Başgün, *Türk-Ermeni İlişkileri [Turkish-Armenian Relations]*, Töre-Devlet Yay. İstanbul, 1973, p.27.; Ömer Lütfi Çakar, *Osmanlı Üzerine Hain Planlar [Malevolent Plans on Ottman]*, Ankara, 1973, p.60.; Ömer Lütfi Çakar, *Memalik-i Osmaniye’de Gayr-i Müslim Mektepleri [Non-Muslim Schools in Ottoman Empire]*, Ankara, 1955, p.43; Yusuf Akçura, *Osmanlı Devleti’nin Dağılma Devri [The Period of Separation in Ottoman Empire]*, Ankara, 1985, p.18.; Nejat Göyünç, *Osmanlı İdaresinde Ermeniler [Armenians Under the Ottoman Management]*, İstanbul, 1983, p.54; Esat Uras, *Tarihte Ermeniler ve Ermeni Meselesi [Armenians in History and the Armenian Issue]*, İstanbul 1976, p.22-70.

on the other hand, they acted as chieftains. Furthermore, Armenian Patriarchy and churches played the role of the uprising centers<sup>136</sup> (Ertuğrul, 1998).

Those works, carried out by Armenians against Turks, were not the Armenian issue only, but also the part of political intentions of Russia and UK. For this reason, those two states always supported the case which Armenians would disintegrate the Ottoman and establish a State, and even provided huge financial aids. The Russian Consuls, charged in the East, tried to educate the Armenian youths and to fill them with hostile feelings against Ottoman disregarding their primary tasks. As a result of such provocations, Armenians appeared, especially during the periods when Ottoman State experienced the internal and external problems, and started the uprising activities in order to realize their intentions. All of those are the incidents caused by foreign-provocation under the cover of “Armenian Nationalism”, and the role of Russian, British and American missionaries is very clearly seen in these events<sup>137</sup> (Ertuğrul, 1998).

Since Armenians were Christians, they were successful to obtain the support of Western countries after every action against Ottoman State. Even if those countries appeared as if they helped Armenians, actually they used Armenians who had the intensive nationalist feeling as a cat’s paw in order to realize their own intentions<sup>138</sup>. The rights, vested to Armenians through the “Armenian Nation Regulations” in 1863, continued until the Treaty of Lausanne. As a result of interpreting by the State of Turkish Republic the decisions passed during the Lausanne negotiations so as covering the Armenian religious institutions, the Armenian Patriarchy has maintained its existence until today. There are already 37 Gregorian Churches in total, including

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<sup>136</sup> Esat Uras, *Tarihte Ermeniler ve Ermeni Meselesi [Armenians in History and the Armenian Issue]*, İstanbul, 1976, p.421; Mayewski, *Les Mascacres Commis Par Les Armeniens [The Armenian Massacres]*, (Çev. A. Süslü), Ankara, 1986, p.14.

<sup>137</sup> Mayewski, *Les Mascacres Commis Par Les Armeniens [The Armenian Massacres]*, (Çev. A. Süslü), Ankara, 1986, p.24.

<sup>138</sup> Kamuran Gürün, *Ermeni Dosyası [The Armenian File]*, TTK Basımevi, Ankara, 1983, s.135.

31 in Istanbul, 3 in Hatay, 1 Derik, Mardin, 1 in Kayseri and 1 in Diyarbakır attached to the patriarchy<sup>139</sup>.

As a requirement of Treaty of Lausanne, the Armenians were accepted by the Turkish Republic as minorities. Armenians, who are mostly Gregorian, have two important religious centers. The first center is the Eçmiyazin Katagikos (Armenian religious center) in Soviet Armenia. Istanbul Armenian Patriarchy is affiliated with Eçmiyazin. Those act in the direction of the Soviet policy; have the political qualification as well as religious qualification, and are under the ruling of Hınçak. It advocates that it should be unified with Soviet Armenia in order to establish the Greater Armenia. The second center is Antelyes Katagikos located near Beirut, Lebanon. This center is affiliated with the Global Churches Association, is western oriented and has the liberal view. It is under the ruling of Tashnak Party and aims to establish an independent Greater Armenia (Vahapoğlu, 1990:135; Ertuğrul, 1998).

### **Francis Hopkinson Smith's Life**

Francis Hopkinson Smith, who visited Istanbul in such time when the stress experienced by Ottoman Government with Armenians reached to the advanced stage in order to paint, closely observed the political conditions and current stresses that the Empire experienced during the years when he was in Istanbul (Daşcı, 20012).

Francis Hopkinson Smith was mentioned with respect through his achievements in the US history, literature and art, and crossed the oceans and went far countries because of his persistent wanderlust; observed, lived, wrote and painted. Mary Hopkins, grandmother of Francis Hopkinson Smith, who lived his life fully at every moment of it, was the daughter of Francis Hopkins who signed the American Declaration of Independence with Benjamin Franklin. At the same time, Smith, who came from a family that had the distinguished family

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<sup>139</sup> Kemal Yaman, *Millet Düşmanlarının İhanet Planları [Treachery Plans of Nation's Enemies]*, İstanbul, 1971, p.47.

members that their names were mentioned with pride by serving to USA from the beginning, notably his grand-grandfather Francis Hopkins, one of the founders of Pennsylvania University, was another ring that was added to this achievement chain through what he did (Daşcı, 2012).

Francis Hopkinson Smith, who lived his life fully with his very important architectural projects, travel writings that he drew the pictures, novels, short stories and some charcoal drawings and some paintings, died at his home in New York on April 7<sup>th</sup>, 1915. His traveler spirit was never tired, but his body at 77 years-old could not tolerate this intensive tempo and he died. There were many notables from the art and literature world of city as well as his family members in his funeral in Incarnation Church at Madison Avenue on April 11<sup>th</sup>, 1915 and the ex-president, Theodore Roosevelt, was the leader of twenty two distinguished participants who took the coffin. After a crowded funeral which the representatives from organizations and associations that he was the member also attended, the Smith's coffin was buried in the Woodlawn Cemetery in New York<sup>140</sup> (Daşcı, 2012).

Francis Hopkinson Smith, who was born as the sixth generation grandson of a wealthy family from London in Baltimore, Maryland, USA in 1838, was the author, painter, businessman and engineer. In the sources, it is stated that his father was a wealthy ironmonger and caster who was interested in the fine arts and lived in Baltimore. Even though the father Smith planned to send his son to Princeton University, he could not do that due to the fiscal drags. After Francis Hopkinson Smith attended the state school, he left the Princeton's preparatory school due to which his family experienced some problems and had to start to work.<sup>141</sup> Meanwhile, Hopkinson Smith, who started to take the painting lessons from a local painter, named Miller due to his interest in painting, drew the drafts observing the environment, and worked in a firm operating on iron sector in Baltimore until the Civil War in 1861 and was

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<sup>140</sup> "F. Hopkinson Smith Buried", *The New York Times*, 12.04.1915.

<sup>141</sup> E. C. Applegate, " American Naturalistic and Realistic Novalists", *A Biographical Dictionary*, Westport, CT. 2002, p.355; "Editorial Section", *Winnipeg Free Press*, 13.04.1915, p. 17.

promoted to the manager, and upon emerging the war, moved to New York and tried to prove himself as the contractor and engineer (Daşcı, 2012).

After he moved to New York, Smith founded his company with his friend, James Symington who was the amateur watercolor painter like him, and signed many contracts, and had worked in the construction sector for 30 years and realized many projects such as breakwaters, lighthouses related to the marine for the government<sup>142</sup> (Daşcı, 2012). Among the impressive engineering projects which Francis Hopkinson Smith performed, it may be mentioned the breakwater at the entrance of Connecticut River, sea walls in Governor's Island and Staten Island (New York), Butler Flats Lighthouse (New Bedford Channel, Massachusetts), Race Rock Lighthouse (Long Island New York), Ponce de Leon Inlet Lighthouse (Florida), Block Island Breakwater (Rhode Island) and foundation and pedestal of Statue of Liberty (New York) (Daşcı, 2012).

Hopkinson Smith, who made his name mentioned in the literature with his works as well as in the engineering field and reached to an extensive audience, was one of the important authors during his period. His first novel, **Colonel Carter of Cartersville**, was published in 1891 and the author found himself immediately in a serious literature career.

The author tells about the life struggle of wife of Tom Grogan who carries out the loading and unloading works in the port after his death in his second book, **Tom Grogan** published in 1896. **Caleb West, Master Diver** published in 1898, tells about an old man and his young wife cheating on him. **Fortunes of Oliver Horn**, published in 1902 and realistically describes the art world of New York during 1870-80's, is a semi-biographic novel and when it was published, it made a hit; the press told about the novel with the complimentary sentences like "the new splendid novel of F. Hopkinson Smith". His novel, **The Tides of Barnegat**

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<sup>142</sup> G. M. Ackerman, *American Orientalists*, Paris, 1994, p.279.

(1906), tells two sisters' lives earning their living with fishery and through sea in Barnegat town. The hero of **The Romance of An Old Fashioned Man**, published in 1907 was Adam Gregg who was the portrait painter. **Peter, A Novel of Which He is Not The Hero**, was published in 1908, **Kennedy Square** in 1911, **Arm-chair At The Inn** in 1912. William the Conqueror Inn, where the story was told in **Arm-chair At the Inn**, was an inn located at Dives, Normandy where the author spent his few weeks almost every year and which was vividly portrayed in his paintings. **Felix O'day**, published in 1915 and **Enoch Crane**, which he started to write in 1916, but was left half finished upon his death, were the last novels of author. Enoch Crane was completed by his son, Frank Berkeley Smith who was the author like him. In addition to the above listed novels of the author, he had many collections that he collected his short stories together. First of them was **A Day at Laguerre's and Other Days** published in 1892. Author's other short story collections are **A Gentleman Vagabond and Some Others** (1895), **The Other Fellow** (1899), **The Under Dog** (1903), **At Close Range** (1905), **The Wood Fire in No.3** (1905), **The Veiled Lady and Other Men and Women** (1907), **Forty Minutes Late and Other Stories** (1909) (Daşcı, 2012:).

**Charcoals of New and Old New York** are another story book which the author both wrote and pictured in 1912 and tells the different places and locations in New York. His stories, **In Thackeray's London** (1913) and **In Dickens's London** (1914) are the stories which author both wrote and pictured, again. In his interview for **Thackeray's London**, he told that he drew the pictures in that book travelling by taxi in London, and as he did that, the police suspected him, brought him to the police station and upon the case was understood, he was released.<sup>143</sup> The Author drew the pictures for **In Dickens's London** in UK again and came back with sixty four pictures related to the locations that Dickens described in his novels. After he was confused one moment upon a young journalist saying, "You will make Mr. Dickens famous", he

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<sup>143</sup> "Hopkinson Smith Sketches Thackeray-Land in Taxi Cab", *The New York Times*, 24.11.1912.

responded, “Making Dickens famous? There are more than what I achieved during my entire life in one page of what he wrote”.<sup>144</sup>(Daşcı, 2012).

The painter career of Francis Hopkinson Smith, who was a good painter at the same time, is also full of achievements. The painting that he was interested in at his early ages was always important for him and he decorated the texts which he wrote with the charcoal drawings. He participated in the exhibition organized by American Watercolor Painters Association in 1868 with his painting, named “**Summer in Grove**” and then, he became the member of this association. His four works on White Mountains were exhibited in Centennial Exhibition, Philadelphia. F. Hopkinson Smith was the most fruitful painter related to “White Mountains”<sup>145</sup> that had a different geographical nature during third quarter of 19<sup>th</sup> century and the rich American collectors were very interested in his those works. F. Hopkinson Smith was an important member of “Tile Club” as well as of many associations and clubs. The members of this club, consisting of 12 very talent painters in the beginning, were painting on tiles having 8 square inches form, and each member was working on the subject whichever he/she desires. Group went to Long Island through the ideas given by F. Hopkinson Smith in order to work on more picturesque subjects and published a book with picture, named “A Book of the Tile Club” in 1886. Then, group, which the member number raised to eighteen upon participation of six musicians, was disintegrated after publishing the book.

Smith was under the effect of Barbizon School<sup>146</sup> and Impressionists in his paintings. During the conferences in Chicago Art Institute, 1914, he mentioned that he had been avoiding paint in the workshop since sixteen years-old, he was an open-air painter, mostly completed his

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<sup>144</sup> “F. Hopkinson Smith Home” *The New York Times*, 16.11.1913.

<sup>145</sup> “White Mountains” is a forest area where has an attracting natural beauty with the eye-catching rocky formations, hills covered with trees, numerous lakes and waterfalls close to New Hampshire and many artists preferred during 19<sup>th</sup> century in order to paint in USA (Daşcı, 2012:40).

<sup>146</sup> (1830-1870), It is used to define the landscape painting style that was used by a French painter group during 19<sup>th</sup> century. Ecole’s name is originated from Barbizon village near Fontainebleau (France) where the painters met. [www.edebiyadvesanatakademisi.com](http://www.edebiyadvesanatakademisi.com)

paintings at once, and the three-legged stool and white umbrella were all his workshop equipment. The charcoal drawing was the drawing technique which Smith mostly preferred. Most of his works were the pictures accompanying his literary works and charcoal drawings, and are frequently found in his texts related to journey. Since Smith, whom his painting works mostly consisted of watercolor paintings and charcoal drawings that he drew in order to picture his essays on journey, did not attend an official art education, he was usually criticized in the press; however, since he was educated in engineering, at least it is certain that he took the technical drawing courses. Furthermore, he told that he was the student of Robert Swain Gifford<sup>147</sup> and learnt the oil painting technique from him in one of the conferences on art. His paintings on city and nature, which he painted with Impressionist technique that he adopted in the watercolor paintings, are important to show his skill on open air painting (Daşcı, 2012).

### **Francis Hopkinson Smith's Days in Stamboul**

Venice has a different place in the Smith's authorship and painting career. According to him, knowing Venice is to know the five hundred-year history and romance<sup>148</sup>. The artist loves Istanbul too and compares Istanbul with Venice regarding beauties. As he stated in the introduction of his work, *Gondola Days*, Istanbul is beautiful in its common integrity and when one goes the details, the disappointment may occur; Venice is beautiful not in integrity but also in detail.<sup>149</sup> Istanbul has a distinguished place in the Smith's heart and works same as Venice. The author embraced this fascinated capital city through many his stories, paintings and travel writings; he visited Istanbul time to time in order to paint (Daşcı, 2012).

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<sup>147</sup> Robert Swain Gifford (1840-1905) painted the sea and ships under the storm by the effect of Dutch Painter, Alber van Beest who was one of the famous landscape painters in his country. Except journeys throughout Europe during the following years, his journey to Morocco, Egypt and Algeria opened the orientalist world to him and provided him new subjects which he painted animatedly. See D. B. Dearinger, *Painting and Sculpture in The Collection of The National Academy of Design*, Vermont, Massachusetts, 2004, p. 224.

<sup>148</sup> F. H. Smith, *Gondola Days*, New York, 1898, from Introduction.

<sup>149</sup> F. H. Smith, *Gondola Days*, New York, 1898, from Introduction.

Visit of Istanbul by Francis Hopkinson Smith, who frequently mentioned his Istanbul love, is verified with the documents in the Ottoman Archive. Despite of prejudiced and negative comments about Turks, Smith visited frequently Istanbul, and found the Ottoman world close to him with many features such as its architecture, life style, humanistic and virtuous people, belief, culture and artistic richness.

His story, “Under the Minarets”, published in Harper’s Magazine, 1891, is based on his observations and experiences about Istanbul and tells about Istanbul from his eye. In that work, Smith tells animatedly what he experienced, what he saw beginning from getting off the train, about meeting Dragoman İshak, going to Bayezid Mosque in order to paint after taking his painting materials, suitcase and passport.<sup>150</sup> Smith, who visited Istanbul for the purpose of painting only, characterized the districts such as Üsküdar, Bayezid, Topkapı Palace, Galata, Emirgan, Tarabya, Mevlevî and Rufaî dervishes, mosques and fountains, markets and bazaars both with his words and charcoal pencil and paints. Among them, Üsküdar was one of the districts that the artist was most impressed. The mosques, hodjas, fruit bazaars, “hourî groups” taking walk with eunuchs, colorful sunshades, the scalloped silks appearing from the shop doors, streets full of the people crowd in every color as if it is the carnival, narrow avenues, many grapes in the baskets, soldiers with tarboosh in the brown linen suits, briefly everything was strange. All of them were almost out of ordinary world according to him; in his own words, he “travelled half of the world in order to find the picturesque and suddenly, found all of them within half of square mile” (Under the Minarets, p.624-626). Again, it is understood from the story that the artist visited the “Treasure House of Palace” with the special permission from the Head Vizier.

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<sup>150</sup>F. H. Smith, “Under The Minares”, *Harper’s Magazine*, September 1891, p.619-620. This story was published within collective stories, named *A White Umbrella in Mexico and Other Lands* (C. II, Charles Scribner’s Sons, New York, 1908.) in 1908.

Again, the scene is Istanbul in the Smith's another story, "Veiled Lady". In the story telling what the painter, who visited Istanbul in order to paint, experienced, the painter came into the presence of Pasha with his dragoman, Joe Hornstog in order to request his permission. He was dying for drawing some of splendors of that turquoise and ivory city onto the worthless paper. He tells Pasha who rolls the cigarette with his stained fingers that this permission is not the first, but he obtained twice in order to paint before. He responds Pasha with his question, "Because of Armenians, his Excellency?" against the Pasha's answer, "You should wait for more peaceful time for your art, Mister!" The author mentioned and referred to the unrests that Ottoman Empire experienced during that time in the story. The painter, who continues courageously to speak upon the answer, "Yes" from Pasha, says that there is not any reason to be afraid of those subversives, he has been the friend of Turks for years, and that they know how he is honest and honorable man. Finally, Pasha, who is persuaded, stands up and shakes sincerely the hand of painter and gives him a Turkish greeting touching his heart, lip and forehead<sup>151</sup> (New York, 1907, s.5-7.).

It was necessary that the foreigners, who would like to carry out the archeological excavation or surface research in the Ottoman territory, must have obtained the official permission from the competent authorities. Likewise, those, who came for painting, must also have obtained the permission. In this sense, the permission requests from the foreign scientists, researchers and artists, who visited the country, and the numerous communications and answers are available in the state archive. It is understood from the Ottoman archive records that an official was, when necessary, assigned in order to accompany to the persons obtained the official permission, provide their security and on the other hand, to follow their activities. An

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<sup>151</sup> F. H. Smith, "The Veiled Lady of Stamboul", *The Veiled Lady and Other Men and Women*, New York, 1907, p.5-7.

official, named Yusuf from Special Organization (Teşkilat-ı Mahsusa) was assigned to accompany to the painter.<sup>152</sup>

It was understood from the applications by Francis Hopkinson Smith which he filed in order to obtain the official permission, when he visited Istanbul, and the documents in the Prime Ministry's Ottoman Archive that he was in Istanbul during 1895, 1896 and 1897. It is stated that the official permission was given to him in order to paint in the Istanbul streets through the document, dated August 22<sup>nd</sup>, 1897 stating, "Upon request from the US Consulate, it is kindly requested to give permission to American Painter, Mister Hopkinson Smith who visited Istanbul in order to paint the Istanbul streets and its vicinity this year same as being in the last and before the last year ..."<sup>153</sup> and the request for third permission was the subject. In the document, dated 28-30 August 1897, it is stated that the permission was given in order that he painted the Istanbul's wide streets and the big buildings in the vicinity only<sup>154</sup> (Daşcı, 2012).

In the long newspaper essay of William H. Shelton about Francis Hopkinson Smith, dated April 2<sup>nd</sup>, 1889, it is stated that the family met in Europe every summer during the last 14 years, and spent the last four summers in Bosphorus. Again, in the same source, it is also mentioned that Smith had waited for permission in Istanbul for four weeks in order to set his easel in 1888 summer.<sup>155</sup> This shows that Smith visited Istanbul in order to paint during 1885-1888 summers (Daşcı, 2012). He elaborates all procedure such as going to the Policeman Superintendent, meeting of Superintendent the Head Dragoman, coming into the presence of superintendent in order to obtain the permission document in the short story, **A Personally Conducted Arrest In Constantinople** within his work, "White Umbrella in Mexico and Other Lands (1908). This time, Casimir, the dragoman, and Mahmut, who was charged by the

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<sup>152</sup> About Dragomans and European Diplomats in Ottoman Empire see; Antonia Gautier, Marie de Testa, *Drogmans et Diplomates Europeens Aupres de La Porte Ottomane*, Isis Press, İstanbul, 2003.

<sup>153</sup> BOA. Y.A.HUS, no.375/98, 1315, Ra.23,

<sup>154</sup> BOA. İ. HUS, no.55, 1315, Ra.29; BEO, no.999/74899, 1315, R.1.

<sup>155</sup> W. H. Shelton, "Authors At Home", *The New York Times*, 02.04.1889, p.36.

Superintendent with a special task, accompanied to him in the Istanbul streets. Mahmut's task is to protect, direct Smith, and to do what necessary is against any harassment (Daşcı, 2012). In those short stories which the fiction and reality mix, Smith frequently stated that Turks were very sensitive and helpful people as opposed to popular belief, and narrated the various beauties, richness, good and bad aspects of Ottoman's capital city in the optimistic point of view with his words and drawings.

### **Francis Hopkinson Smith's Essays About Turks and Armenian Issue in The American Newspapers**

The author, who was an incorrigible traveler at the same time, came to Istanbul where first, he loved by dreaming it, then fell in love upon knowing it by obtaining a special permission in order to paint, and had the opportunity to closely observe the political conditions and current tensions that the Ottoman Empire experienced during 1895-97. During the years when Hopkinson Smith was in the country, the tensions between Ottoman government and Armenians reached to the serious levels. The artist, who was Ottoman Government's side contrary to his country's protective attitude and supportive political tendency toward Armenians, dared to argue with opposites, and even though he drew attraction due to his harsh statements, he did never give up to advocate the Ottoman. He published many essays related to the rightfulness of Ottomans in the American newspapers.

Name of F. Hopkinson Smith is mentioned in a correspondence in French, dated 10 December 1895 in the Prime Ministry's Ottoman Archive.<sup>156</sup> In the letter, signed by Mavroyeni Bey<sup>157</sup> sent from Washington Embassy of Ottoman Government addressing to Tevfik Pasha,

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<sup>156</sup>BOA, HR. SYS, no.65/6, 1895.12.10.

<sup>157</sup>Alexandre Mavroyeni Bey (1848-1929): He was an Armenian-origin Ottoman citizen who was charged as Ottoman ambassador in Washington Embassy established in 1867 during 1887-1896. His father, Spiridon Mavroyeni, who was the head doctor of Sultan, was the vizier of Pasha. There are numerous documents from Alexandre Mavroyeni related to his works in USA and to the struggle against Armenian issue in the Turkish and American archives. Mavroyeni Bey sent many diplomatic notes to the US Department of State related to the American missionaries; he pointed out the provocative and supportive role of missionaries in the Armenian upheavals in the documents that he sent to the

the Minister of Foreign Affairs, it is stated that the painter and author, F. Hopkinson Smith, who spent two months in Istanbul and was satisfied with the attitude against him and went back to USA, said the good things about Turks and Empire everywhere, made the statements on this issue to the newspapers, even he planned to have published a long essay about Turkey in one of the biggest monthly periodicals in New York. Moreover, in that correspondence, Mavroyeni Bey mentioned that the artist was living in New York, when he went to Washington for two days, he visited Mavroyeni Bey, and he thanked Smith for his intimacy and sincerity toward Turks. In that meeting, Smith told the Ottoman Ambassador, Mavroyeni Bey about the interviews with the journalists, and the Ambassador gave him the brochure, "Some Realities About Turkey under the ruling of Abdulhamit II" informing about Armenian upheavals.<sup>158</sup> Again, in the document, dated 6 January 1896, sent from Washington Embassy to the Ministry of Foreign Affairs in Istanbul, it is stated that Mr. Smith would have a detailed essay published in favor of Ottoman Government. In another document, dated April 1896, sent by Mavroyeni Bey, it was mentioned that the said essay of Smith was published and one copy was sent. At the same time, this document also includes the summary of translation of essay, translated in the Translation Office. In that letter, F. Hopkinson Smith mostly blames the missionaries about the disturbance in Anatolia, and says that 171 American missionaries in Anatolia struggle against Islam and Government, go to Anatolia aiming to prepare a revolution against Ottoman Government, and even if they don't say clearly, they are about awaking an idea on revolution. The author mentions that there are 1.500.000 Christians in Anatolia, 964.000 out of them are Armenian, and the Armenians are also not satisfied with the case. He also adds that half of the civil servants in the Government are Christians, and he tells about Sultan praising him, saying

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Ottoman Ministry of Foreign Affairs. Despite that he was Christian, he advocated Islam against such unfair attacks toward Islam religion. Bilal Şimşir, "Washington'daki Osmanlı Elçisi Alexandre Mavroyeni Bey ve Ermeni Gailisi [Ottoman Ambassador in Washington Mavroyeni Bey and Armenian Issue]" *Ermeni Araştırmaları [Armenian Searches]*, p. 4, December 2001; January-February 2002, p. 32-54.

<sup>158</sup> BOA, HR. SYS, no.65/6, 1895.12.10; Y.A. HUS, nu.343/40, 1313, B.20.

that the Ottoman Sultan is a gracious and fair king who does the best for the welfare of people as opposed to what are told. Meanwhile, he mentions the American teacher, nurse and the human rights advocate, Clara Barton<sup>159</sup>. It is told that Barton and Red Cross organization help the Armenians in an inconvenient manner without applying to the Ottoman Embassy in Washington. According to him, Americans take a friend government on being the side of Armenians who cause such disturbances. Whatever its reason was, a lot of people were stuck in the difficult situation and became helpless due to the events. According to Smith, America should have done the best in order to eliminate this bad situation, have suppressed the insurrection actions of Armenians and have demanded the grace from Sultan in this direction. The author states that since Sultan is gracious, if what he said is done, then he is sure that the Sultan would be tolerant of them.<sup>160</sup> (Daşcı, 2012).

There were many statements and similar essays full of accusing and critics mostly using harsh words targeting the Ottoman Government in many newspapers in USA during that period. In such environment, Smith had almost been declared traitor due to his statements advocating the Ottoman Sultan and Muslim Turkish People and became the target of arrows of criticism. In the news, “A Good Word for Sultan: F. Hopkinson Smith In Turks Defense -Dr. Wayland Opposes” published in *The New York Times*, dated 16 January 1896<sup>161</sup>, it is mentioned a meeting that was held in order to discuss the Armenian issue; the speakers of meeting were Francis Hopkinson Smith and Dr. Henry L. Wayland.<sup>162</sup> Smith, who began to speak first, said that all civilized world united in order to curse the Sultan of Turkey during the last few weeks,

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<sup>159</sup>Clara Barton (1821-1912): American teacher, nurse and human rights advocate. She worked as a nurse during the American Civil War, went to Istanbul in 1896 in order to help Armenians, and then, worked in the hospitals in Cuba. She founded the Red Cross organization USA. *The Red Cross-In Peace and War*, Washington, 1898.

<sup>160</sup> BOA, Y.A. HUS, no.349/15, 1313, L.18.

<sup>161</sup>“A Good Word for Sultan: F. Hopkinson Smith In Turks Defense”, *The New York Times*, 16.01.1896.

<sup>162</sup>Henry L. Wayland: Babtist Vaiz

even Mr. Gladstone<sup>163</sup>, who spoke effectively and the sensitive person, Julia Ward Howe<sup>164</sup> took part within the angry crowd completely with the information from newspapers without knowing the real situation of the country, and as stating about the Sultan's personality, he created a piece of common sense among the audiences. After Smith stated in his speech that if Sultan died, then he would not leave any disgraceful document behind him, worked for the welfare of everybody, all people; he was patient, open-hearted and honest man, he said that half of the civil servants in the Government was Christian, and most of them were Armenians, he visited Istanbul three months ago, and Turks were honest, simple and cultured, respectful persons who attached their families, and even they acted in a very sensitive manner against the animals. Then, he mentioned the missionaries related to the Armenian issue again, as he stated many times before: According to F. Hopkinson Smith who emphasized that Europe set the Bulgarian people free and also tried to set Armenians free, one of the reasons, which the events reached to that level, was the missionaries that challenged to the laws relying upon the protection from US Government and turned to the wrong direction; in addition to it, the screams of innocent women and children should have been listened carefully. Contrary to this, as Wayland criticized the so-called genocide by Turks, he blamed the Sultan for all these events (Daşcı, 2012).

In another news discussing the same speech, different parts of F. Hopkinson Smith's speech defending Turks were published. According to the news, Smith, who said that

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<sup>163</sup>William Ewart Gladstone (1809-1898): British politician and prime minister. He blamed Turks in the Bulgarian insurrection began in 1876, and published a pamphlet, *"Bulgarian Horrors and the Question of the East"* with 64 pages due to the negative opinion on Ottoman Government and Turks. At the end of the book, he called the people to help Bulgarians. *Bulgarian Horrors and the Question of the East*, London, 1876, s.63-64. (For details, see Niyazi Karaca, *İngiltere Başbakanı Gladstone'un Osmanlı'yı Yıkma Planı: Büyük Oyun [The Plan of Gladstone, the Prime Minister of the UK, to Collapse The Ottoman Empire: Big Game]*, Timaş, İstanbul, 2011.

<sup>164</sup>Julia Ward Howe (1819-1910): American author and human rights advocate. She was one of those who founded New England Woman's Club in 1868. She was the first chairman of American Woman Suffrage Association. She was the first member who elected for American Academy of Arts and Letters in 1906. She has the poems and books including her biography. Her husband, Samuel Gridley Howe, supported the independence struggle of Greek people, and fought together with them. He collected a significant amount of donation through his efficient propaganda for Greeks in USA and except the money donation, sent the food and clothes with the ships. See C. Clinton-C. Lunardini, *The Columbia Guide to American Women in the Nineteenth Century*, New York, 2000, p. 94, 179.

Armenians assaulted the Turks' belief and drove them crazy in the Ottoman State where most of population consisted of Turks who extremely attached to their belief, violated the laws, and requested the help from foreign powers saying that Turks massacred Armenians upon showing the Turks' counter acts of such events as a natural result of them, mentioned that the Armenians burnt the villages and attacked to and provoked Turks, then the issue was placed before the Christian World.<sup>165</sup> (Daşcı, 2012).

F. Hopkinson Smith continued to defend Turks despite of the renowned, highly regarded persons who criticized him due to his opinions, and tried to confute the assertions, and one of his statements was published in Estherville Democrat on 5 February 1896 and The Algona Courier on 7 February 1896<sup>166</sup>. According to what Smith says, significant part of the problems shaking Asia Minor now occurred due to the American missionaries and they encouraged Armenians who did not have their own national identity and expected the independency. This insurrection was mostly managed from Worcester, Massachusetts where the head office of revolution committee's secretary, Garabedian, was located. Turkey's Sultan is a person who doesn't have any religious prejudices; half of Governmental workers in Istanbul is Christian. Besides it, in the statement, Smith describes the Miss Barton's initiative to provide help to Armenians as an imprudent action and also says that Barton could not move one more mile forward without the Sultan's protection after he reaches to Turkey, and could not spend even one more dollar. In that statement, again, Smith emphasizes that Sultan maintains the sustainability of 200 schools where 100.000 children are educated bearing the costs with his own money and criticizes the external interventions to the Turkey's internal affairs. In a

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<sup>165</sup>"Are the Armenian Blamable", *The Morning Telegram*, 24.01.1896.

<sup>166</sup>"He Defends The Turc: F. Hopkinson Smith on the Armenian Troubles", *Estherville Democrat*, 05.02.1896, p.2; *The Algona Courier*, 07.02.1896, p.3.

correspondence, dated 12 February 1896, in the Ottoman archive, it was alleged that Mr. Smith had an essay published defending Turks in those newspapers.<sup>167</sup>

Clara Barton, whom Smith mentioned in his speeches, came to Istanbul as the chairman of Red Cross Organization in 1896 in order to provide humanitarian aid to Armenians and as she did not face with any obstruction on obtaining permission for aid works and later on, she told in detail that she was provided the help and acted kindly by the Ottoman officials in her book. Ottoman Government authorized the American Ambassador, Terrell to charge an American in order to provide the aid to Armenians, and he deemed Clara Barton convenient and charged her. The newspapers in that period tell in detail about the Barton's explanations on the subject, her positive speech about Sultan and Turkish officials and how Barton was sent off enthusiastically while she was leaving Istanbul.<sup>168</sup> For the first time, Barton tells what she experienced in Istanbul and Anatolia so as not allowing for misinterpretation in her book, *A Story of The Red Cross: Glimpses of Field Work* published in New York, 1904 (Daşcı, 2012).

New statements of F. Hopkinson Smith upon the issue are published in Sacramento Daily- Record on 10<sup>th</sup> November 1896.<sup>169</sup> In these statements, Smith both responds the criticisms towards him and very harshly objects the claims that Armenians were persecuted for no reason by Turks. According to the news, Smiths has recently visited Turkey and he talked and became friends with people from different classes in different places; of course with Armenians, too. Thus, he thinks that he knows the bad and good sides and characters of each side well. Smith emphasizes that there is an Armenian Office in Turkey and its only duty is to disseminate news against Turks and that the sensitivity both in America and in England emerges from these news. According to Smith, each one of 100.000 Armenians who live in Istanbul is

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<sup>167</sup>BOA, HR. SYS, no.69/28, 1896.02.12.

<sup>168</sup>"To Nominate Miss ClaraBarton", *Pocahontas Country Sun*, 13.02.1896, p.1; "Clara Barton Task", *The Milford Mail*, 05.03.1896, p.6; "Clara Barton Returns From Her Work of Mercy", *The Morning Times*, 13.09.1896, p.17.

<sup>169</sup>"The Other Side of It: Are The Armenians Entitled to Our Sympathy", *Sacramento Daily-Record Union*, 1896.11.10, p.6.

anarchist and intriguer and these people are responsible for all kind of persecution made to Armenians in Turkey. They have been organizing a conspiracy and intrigue against Turkish Government for many years. Smith claims that the goal of Armenians is to get independence in Turkey. Although Armenians have the same rights with the other foreign populations, the goal of them who have born as intriguers is to dissolve the Empire by creating problems and to come to power with the effect of the foreigners when the Empire is collapsed. Smith who continues his speech as "... Turk absolutely makes the thing which shall be made by any other nation which is in the same situation and under the same conditions. Self-defence is the most natural law of nature. Turk loves his/her own country as we love ours..." , indicated that Sultan maintained a noble and courageous struggle for his country with an empty treasure and with an army who served without taking any salary; and that he researched the issue in terms of both sides and that virtually the only good Armenian is the death one. When F. Hopkinson Smith stated that he wrote an article about this issue again which indicated Armenians were the source of all kinds of persecution and that he caused some raised eyebrows of religious persons and he suffered an affront due to his this attitude and that only that time he confirmed his sayings were true and history will confirm him someday. Smith who blames Armenian Revolutionary Federation upon the events expresses that the main goal of them is to provoke massacres and to cause the development of a persecution which is big enough to create a universal sympathy for Armenians by stirring animosity in Turks. Smith mentioned the different dimensions of the subject in the next parts of the news which had a wide publicity in newspaper. According to him, everything upon Armenian issue is a conspiracy which was formerly designed by Armenians in cold blood. He states the stories telling that old wells are full of death people and that Christians were killed by being thrown from cliffs into rivers are all irrelevant to reality.

With this Smith verifies that there was a massacre event in Anatolia. Armenians killed a few Kurdish citizens in this region as a part of revolutionist conspiracy and a massacre

occurred after this event which got Kurdish people's blood up; and terror of this event is beyond the expectations of the conspirators. Smith indicates that Armenians started their revolutionist actions in Istanbul by provoking Turks; they opened fire against police officers on the excuse that they shall submit a petition and Turks fire back to this action. Then, Smith talks upon the activities of missionaries. According to his opinion each missionary provides assistance to Armenians' conspiracies. Missionaries hate Turks and their religion; and they want to collapse both of them. They have centres in Robert Collage and Bible House located in Pera; and they aggravate Armenians from these places. Smith alleges that everything upon independence is thought to Armenians in America and they are given hope for the future; thus, they believe they will rule over the whole country in the future and with this view they continue their conspiracies. According to Smith, missionaries are behind the humanistic nature of Turks. Turks struggle for the religion they believe and for their ancestors. Armenians are intriguers and cunning; Turks are not intriguers, they are warriors, they do not respond with intrigue, they depend on their defence sword (Daşcı, 2012).

In the next parts of the same news, Smith also mention about the Sultan and says that the Sultan did his best for this issue, he stopped the persecutions as fast as he could lick, all Europe downed on his neck and that although he is an open minded and fair ruler, he was accused of all kinds of offence. But, the Sultan only wanted loyalty from his people. Missionaries dictated the policy of American embassy until now; but Judge Terrill who has a wide point of view did not give the missionaries what they wanted, thus missionaries did everything in their power for sending him away; and when they were not successful, they levied war on him. Smith mentions about Ottoman Bank attack by saying that the work of ambassador who remains in between Turks, missionaries and Armenians is very hard.<sup>170</sup> Smith who states

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<sup>170</sup>For documents which are in the Ottoman Achieves of Prime Ministry upon sudden attacks of Armenians to Ottoman Bank in Galata and different places of Istanbul and upon their actions, please see *Osmanlı Belgelerinde*

that Ottoman Bank attack is one of the most cold-blooded attacks which has ever been made, it was thought by the Armenians and their councils for many months and there were 115 staff in Bank who were Russian, Greek and English indicates that the aim of Armenians is to blow up the bank until they are given autonomy. According to him each of the people arranging this attack is a Christian anarchist. There are 100.000 of them in the city. Turks cannot battle with them completely; these devils live among them and as a conclusion they create riot and upheaval. When talking about Ottoman bank attack, Smith says that Russian Dragoman Maximo sheltered under a white flag and came near the activists and begged them their scattering, after the struggle continuing for many hours, the rebels surrendered upon the promise that they would be protected, the explosives were removed and 115 bank staff were found half-dead by fear and were sent to their home, and the leaders of the assassination went to Marseilles with an English yacht; thereupon Turks lost their temper and they attacked the Armenians with this anger, soldiers tried to prevent the affray; and he continues his words as “suppose that lots of foreign conspirators behave like this in Washington, they try to blow up Capitol (United States Capitol in Washington), what would most likely be in America? Suppose that President hustled the conspirators to Cuba or England from the dangerous place under the protection of the United States instead of giving them to the crowd, what would be the life of any of conspirators’ supporters in Washington? This is exactly what has happened in Istanbul.” Writer who continues his observations and comments upon the issue very clearly after these explanations mentions about another conspiracy of Armenians as killing Christian Greeks (Rum) and leaving the death bodies to Turks’ doors and about the fact that the Government spoilt this conspiracy. Also, he claims that the day on which Ottoman Bank event occurred, Armenians captured a school building for sending policemen away from the place they stay and that they bombed from this building. Armenian Federation sent letters which were sealed with

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*Ermenilerin Sevk ve İskânı (1878-1920) [Dispatch and Settlement of Armenians in Ottoman Documents (1878-1920)]*  
Department of Ottoman Achieve, Edition no.91, Ankara 2007, p. 67-68.

blood to the embassies everyday and threatened them with bombing them if they did not support them; these are the determinations included in Smith's statement. According to Smith, bombing is an action which Armenians like doing. They were constantly killing innocent people passing by; there were lots of examples of this. Of course Turks were taking reprisals by bringing down the houses where the bombs were thrown from. Smith determines that Armenians who believe their rightfulness are fanatics, Turks are fanatics, too; thus the country is injured by conspiracy, discrepancy and revolts, discourses upon saving Armenians are ridiculous; as the gangs which are dispersed cannot be saved, Armenians are the ones who are actually aggressors; and he says that Sultan's arm did not start these; on the contrary Sultan and his soldiers did their best to repress these uprisings; that Americans living in Ottoman territory were not hung by a thread even in this chaos and riot atmosphere; their safety was provided fully. He explains this as "I drew pictures every day in the streets of Istanbul only with a dragoman and nobody interfered us. Turkish pedestrians were patrolling on the streets and this shows that Sultan did his best to prevent violence. I left my wife and my daughter in Istanbul for two weeks and went to Venice, I was sure that they were in safety." (Daşcı, 2012).

Smith thinks that these problems will continue. According to him Armenians will continue their conspiracies and make Turks angry, then the gangs will be formed and this fight will go on. Writer explains this as "I am waiting to hear every moment that they have tried to explode embassies and Turkish schools and then Armenians shall escape in a hurry in order to create news for provoking the World against Turks. There are Christians in more than half of the government offices in Turkey; thus, Sultan is not narrow-minded and does not have any hostile attitudes against Christians." He ends his words with the proposals he mentions for the solution of the problem after he has said "Why the area on which Robert College was established is a gift of Sultan and why did he mostly spend from his own money bag for the establishment and maintenance of the collage?" According to him Sultan should be left in peace

for the solution of the problem. He drew a line in the sand by saying “Do not cry out to Sultan, leave English and American sensibility aside, let him do his own works and rule his country, do not announce Armenians who bomb as martyr, do not blame Sultan forcibly for each death. This is like blaming the President of United States for a murder which was committed in Bowery in New York. If English and American people do not reason this issue, the problem will end with the massacre of thousands of people. Turks will not abandon their country and religion without a war that has not been seen by the World in modern ages”<sup>171</sup> (Daşcı, 2012).

Explanations of F. Hopkins defending Turks in Armenian issue caused him to live an unpleasant event. There was news in 7 December 1986 dated newspaper announcing that Armenians tried to prevent talking freely in America.<sup>172</sup> According to this news Smith received a very unpleasant warning from some persons who did not like his explanations; and was threatened that there would be bad results if he did not stop announcing the party he defended in this issue and did not end defending this party. In this event which extremely worried his friends, two persons came to F. Hopkinson Smith’s home and warned him, conveyed the message of Armenian Revolutionary Federation saying him to stop defending Turkish Government. Smith responded this event with these words: “They say I have to stop, don’t they? Good, I won’t stop. I know that Sultan is an open-minded person who loves his people much. I know that Armenians stimulate Turkish people to make massacre in order to arouse sympathy of Europe. I know these events and I will defend Sultan and his people as I know these events.” (Daşcı. 2012).

In this period another person who is criticised for her thoughts upon Armenian issue is Elizabeth Washborn Brainard who is an American woman artist. George Washborn who is brother of Brainard who drew a rebuff as she did not give full support to Armenians and made

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<sup>171</sup> “The Other Side of It: Are The Armenians Entitled to Our Sympathy”, Sacramento Daily-Record Union, 1896.11.10, p.6.

<sup>172</sup> “Armenian Seek to Supress Free Speech in Amerika”, *Cedar Rapids*, 07.12.1896, p.8.

some criticisms has worked as a director of Robert Collage for many years. Young artist who came to Istanbul near her brother stayed in an old house in Bosporus in Kandilli which is a summer settlement where there are lots of magnificent houses and she spent most of her time in drawing pictures in this city which she found more beautiful than she could imagine in 1001 Arabian nights with its fruit trees, flower smells and exotic texture. She also participated in a feast organized by Head Vizier on 25 June 1860 for the honour of anniversary of the date on which Sultan Abdülmecid succeeded to the throne during this two months travel (Malcolm P. Stevens, *Elizabeth and The Sultan's Fete*, Saudia Aramco World, Vol.36, N.2, March/April, 1985, s.2-7). Of course, Brainard whose interest and closeness to the issue is more superficial than F. Hopkinson Smith cannot be compared with F.H. Smith in terms of defending Sultan and Turks. But, a headline of a newspaper on which F. Hopkinson Smith and Washborn Brainard were mentioned sets forward the reaction against them clearly: "Garrulous Know- It-Alls". Elizabeth W. Brainard thinks missionaries are not guilty of massacre; nevertheless she strongly condemns angry revisionist Armenians. These two artists who are blamed of only being hand in glove with Muslim elites when they came to Istanbul were meaninglessly criticised for not being informed about the situations of oppressed people and for talking indiscreetly <sup>173</sup>(Daşcı, 2012).

### **Conclusion**

F. Hopkinson Smith continued insistently to defend what he thinks is true in spite of serious threats from Armenians. The ones who take a stand against him are not only Armenians; he was criticised mercilessly by that period's leading human rights defenders, religious men, journalists, writers; in short by educated and distinguished persons who have an effect on the thoughts and behaviours of public and by many other people. It is highly remarkable and significant that Smith who is in the world of art and literature professionally and who is in the

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<sup>173</sup>"Garrulous Know-It-Alls", *Daily Kennebec Journal*, 14.12.1895, p.4.

brilliant age of his career as an artist and a writer behaved so bravely by running the risk of drawing people's reaction, stood alone against America and nearly all Europe and did not make concessions from his manner until the end. As he says Smith is sure that the history will confirm him one day.

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## **The Effect of the Changes in Oil Prices on IMKB-100 Index**

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### **Abstract**

Today, oil has an active economic power that affects foreign trades of the countries either positively or negatively. It is thought that this effect will continue in the near future and that oil will maintain its strategic importance for many years. Importance of the oil stems from constituting the raw material and additive of thousands of products besides being a source of energy. Examining positive and negative effects of this economic power for our country is particularly important in the present period of high and fluctuating oil prices. In this study, effect of the changes in the international oil prices and 7 different variables effecting IMKB-100 index was examined using panel data method. Our results show that, among the variables addressed, the changes in the international oil prices are effective on IMKB-100 index, but that this effect direction is not sufficient to change the direction of the index.

*Keywords:* oil prices, capital markets, panel data analysis

### **The Effect of the Changes in Oil Prices on IMKB-100 Index**

Oil prices are one of the economic indicators directing the world economy. Effect of the oil prices on the economies need to be evaluated separately for oil importer and oil exporter countries. Our country is in the group of oil importer countries. High oil prices causes drop of real national incomes of oil importer countries, and since they directly affect the prices of the essential goods used in manufacturing, they also play an inflation-increasing role. The changes in the national income and inflation figures, which are among the main indicators of economy, determine direction of the exchange markets, too. While oil prices are determined as crude oil per barrel in the exchange markets of London, New York, Tokyo, etc., exporter countries make legal arrangements involving themselves, and the oil prices in the country are shaped by these legal arrangements. Therefore, for instance in our country, the fluctuations in the world oil prices do not reflect on the prices of the oil products directly, but reflect under certain arrangements, within a certain process. On the other hand, both foreign and domestic oil prices are considered by Istanbul Stock Exchange from different aspects just like the changes in other economic parameters, and the index is thought to exhibit fluctuation. In the present study, the focus will be particularly on the effect of the changes in the oil prices. The purpose of this study is to determine whether the changes in the oil prices, one of the main indicators directing the world economy, have any effect on Istanbul Stock Exchange Composite 100 Index (IMKB-100), and if so, extent and direction of the effect.

#### **Formation of Oil Prices in the World**

Like with all other products, in the cases where supply is insufficient or excess compared to demand, oil prices in the world exhibit fluctuations depending on the changes in the macroeconomic balances. With these fluctuations, conjuncture of the crude oil prices expand following each period of several years (WTRG Economics, 2001:2). For example, the price increase in the late 1950's has occurred through rise of the demand more than the supply

(GHOURI, 2006:1). Although crude oil prices are generally determined based on international markets, levels of production in OPEC and non-OPEC countries and the demand for crude oil, the changes experienced too often in the economic and political balances make it difficult to make a long-term estimation on the basis of these changes (EIA-Annual Energy Outlook, 2003:80). The changes experienced regionally and periodically in the economic and political balances stand out as the factors exerting pressure on the oil prices. The nationalization movements, oil embargoes, increase of the taxes and oil privilege contract values experienced in the oil exporter companies have underlain the significant rise in the oil prices in the early 1970's, and cease of the Iranian oil production due to collapse of the Shah and Iranian Revolution has also had a role in drop of the oil production of OPEC by 3.3 million barrels daily in 1980 (Ghour, 2006).

Oil has many varieties comprising crude oil and refined products, and many of these are traded in various international markets including New York (NYMEX), Los Angeles, Rotterdam, Singapore, London (IPE), and the Mediterranean Exchange Market in Italy (HAMMOUDEH, 2004). Price of the oil is shaped in these markets where buyers and sellers meet and negotiate. Besides this, they play a very important role in determination of the oil prices by declaring the oil prices per barrel in OPEC on daily basis. We had stated above that oil price is dependent upon the oil supply and demand like with all commodity and goods markets. Therefore, the important items playing role in formation of the oil prices include the high-cost oil production and limited oil reserves like with all commodities and goods. With the existing developed economies, gradually increasing dependency of the new and developing economies in the world on oil as the primary source of energy elevates the demand for oil unavoidably, and triggers rise of the oil price as the other leg of formation of the oil price.

The growth in the world economy brings about the increasing energy need. In the period of 1985-2000, while world economy grew with an average increase of 3.5% annually, daily oil

production recorded an increase of 130 million barrels. According to the estimations, in order to continue the growth stably worldwide, the daily world oil production should increase by 43 million barrels in total until 2020 (Economic Sanctions And World Oil Supply, 2003).

The world oil prices are determined with the relationship between supply and demand. Moreover, production policies of a little number of OPEC and non-OPEC countries play a key role in production, and affect the international oil prices. At the same time, a few demand factors affect the price. Economic development is the primary demand determinant. The disorders in the regional economic activity affect the world oil prices as was experienced in Asia in 1988. The events similar to the big terrorist attacks made to the World Trade Center and the wars affect the expectations in the security of energy provision, and results in instant price increases. Further, the requirement for more quality oil products in transport sector affects the oil prices (Üşümezsoy & Şen, 2003).

### **Oil Prices and Capital Markets Relationship**

Oil prices are one of the economic indicators directing the world economy. Effect of the oil prices on the economies need to be evaluated separately for oil importer and oil exporter countries. For oil exporter countries, oil prices constitute the most important income source of the country economy. Backbone of the country's economic system is founded on oil proceeds. Therefore, the high level of oil prices shows positive effects for oil exporter countries. For example, in those countries, high oil prices increase their export incomes and show income-increasing effect. For oil importer countries, this shows exactly opposite effects. First, high oil prices lead to decrease of the real national incomes of the oil importer countries. Since it is impossible to reduce the oil consumption in line with the increase rate of oil prices, total oil expenditures increase, hence, the amount allocated from the national income for other expenditures decreases. Negative effect of the high oil prices on national income varies depending on the share of the oil expenditures within the national income and oil dependency

of the country. In other words, if the share of oil expenditures within the national income is high in a country and also the possibility of that country to reduce its oil consumption and to turn to other sources of energy, the negative effect of high oil prices on economy increases.

Besides that, the high oil prices have a direct increasing effect on world input and essential goods prices. In this case, wholesale and consumer goods prices elevate the inflation. The inflation increasing effect of high oil prices is felt more particularly in the economies which have structural problems and where budget deficits are closed through borrowing.

High oil prices also affect foreign trade balances of the oil exporter countries, and thus, budget balances of these countries negatively. The share allocated to oil from the national income increases the importation amounts. As a natural result of this, considering also the exportation amounts that do not increase at the same rate, foreign trade balance of the countries is affected negatively and deficits begin to emerge. Deficits begin to emerge in the states' budgets also when the compulsory expenditures made by the countries for oil start to reach an important share in the budget. The states that are forced to close the budget deficits recourse to borrowing. Hence, increases are seen in the debt burden of the country.

Consequently, oil prices lead to income transfer from oil importing countries to oil exporter countries, and thus, result in income inequality between the countries.

Our country is in the group of oil importer countries. Therefore, they get exposed to the abovementioned economic effects of the high oil prices.

Capital markets may be defined as the barometers that measure economic status of the countries they operate in. In the communities where national income constantly increases, growth figures proceed stably, unemployment rate decreases, and economic progress and development continues without problem due to miscellaneous reasons, investors do not see any harm in making use of their savings in the capital markets. In such cases, capital markets attract the investors to themselves since their risk is low.

There is no doubt that the petrol importer countries are vulnerable to the abovementioned economic risks due to their sensitivity to oil prices. Investors seek for more secure investment environments for their savings in the cases where the economic risk is elevated. As a result of globalization and technological developments, fund transfers in the world take only seconds. This strengthens the hand of the investors and they transfer their savings to less problematic economies. Due to oil prices, a capital market that is vulnerable to economic risks above poses risk for the investors.

There is an interaction between oil prices and capital markets due to direct or indirect economic effects of oil prices. While this interaction varies depending on the dependency of the respective country on oil, it emerges through reflection of the changes in the economic parameters caused by the oil prices on the capital markets.

When reviewed results of the researches in the literature, the fluctuations in the oil prices are observed to result in important changes in the economy. For example, Hamilton has stated that the significant change in the oil prices immediately before the Second World War has caused stagnation in the American economy (Hamilton, 1983). In the research conducted by Lee and Ratti in 1995, they addressed the effect of the oil prices on production, and observed that, in the periods of long-term economic stability, the shocks in oil prices were effective on the fluctuations in production (Lee & Ratti, 1995). Mork, Olsen and Mysen examined effects of oil shocks on economic production in seven industrialized countries, and observed that, in the group comprising the USA, Japan, Germany, Canada, France, United Kingdom and Norway, which were affected by the oil shocks, those that were most affected by oil shocks were the USA, Japan and Norway (Mork, Olsen & Mysen, 1994).

If oil prices affect real production, the fluctuations in oil prices substantially affect expected yields, and hence, equities of the companies. Jones and Kaul demonstrated that the fluctuations in equity prices could result in influence of cash flows by the oil prices (KAUL and

JONES, 1996: 463-491). Huang, Masulis and Stoll investigated the relationship between daily oil future contract yields and the US equity yields through VAR study. As a result of this research, they concluded that there was a significant relationship between oil future contract yields and yields of oil companies, but no relationship between the equity market index yields (Huang, Masulis, & Stoll, 1996). In his study covering the years following 1986, Sardorsky demonstrated that the rises in the oil prices had a significant effect on the real equity yield (Sadorsky, 1999).

### **The Effect of the Changes in Oil Prices on IMKB-100 Index**

#### **Theoretical Explanations Regarding the Model Used in the Study<sup>174</sup>**

Panel data analysis was conducted in the study. Since panel data consist of the combination of time series and horizontal cross-sectional data, time dimension shows variation by time, and horizontal cross-sectional dimension shows variation by units. Therefore, panel data models are created so that both dimensions are incorporated. Since there is variation by both units and time, different models can be created. While fixed and variable coefficient models can be set up, it is also possible to set up one- and two-factor fixed and random effect models (GÜRIŞ and ÇAĞLAYAN, 2005: 12).

Panel data analysis has many advantages compared to the analyses that incorporate only the time series or horizontal cross-sectional data. These may be listed as follows:

- 1) the inter-group heterogeneity effects are controlled better,
- 2) since panel data method combines cross-sectional and time series, the fact that number of observations is bigger usually ensures making more reliable estimations by elevating the degree of freedom,

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<sup>174</sup> Compiled from: Ebru Yalçın, Economic Growth and Foreign Loans: An Empirical Study, Central Bank of Turkey, Directorate General of Foreign Relations, Ankara, September 2005.

3) it ensures obtaining the effects that cannot be revealed by only cross-sectional or time series analyses,

4) it is possible to reduce the multiple connections between the explanatory variables,

5) effectiveness of econometric estimators is increased,

6) since repeated cross-sectional observations are worked with, panel data method is a more suitable method to study the change dynamics,

7) panel data allows studying on the models having more complex behaviors.

In our study, it was decided to use panel data analysis method for these advantages it provides compared to the analyses that incorporate only cross-sectional or time series. In panel data set analysis, there are  $n$  cross-sectional units. Namely, if  $i$  = independent variable,  $t$  = period;  $i = 1, 2, \dots, n$ .  $t = 1, 2, \dots, t$ . Considering that  $n$  observations are made in each  $t$  period, number of total observations in the data set equals to  $nt$ .

If we look at the classic regression model constituting the framework of the panel data analysis;

$$y_{it} = \alpha + \beta x_{it} + e_{it}$$

Where  $y_{it}$  is the dependent variable,  $x_{it}$  is the explanatory variables set,  $\beta$  is the slope coefficient,  $e_{it}$  is the error terms vector and fixed intersection coefficient.  $i$  shows the number of the groups contained in the model ( $i = 1, \dots, n$ ) and the time length of each group ( $t = 1, \dots, n$ ). In the equation above, fixed term varies by time and cross-sections, and coefficient of the independent variable varies only by the cross-sections. In other words, the abovementioned panel data is based on the assumption that there is a heterogeneous relationship between dependent and independent variables (ERKAN, 1999: 81). In our study, the period of January 1997-December 2004 is analyzed as time series and data of 9 different variables as horizontal cross-section.

The equation above is applicable for the status of the panel data analysis where all the coefficients are kept fixed for all horizontal cross-sectional individuals. Another important issue in the panel data analysis is how the starting point will be defined. The starting point may be kept fixed, or without imposing such a restriction, existence of different starting points may be allowed for the different horizontal cross-section. If the fixed starting point restriction is removed, there are two alternative methods known as fixed effects model and random effects model for starting point identification. In the fixed effects model, it is envisaged that the starting point will take a different value for all horizontal cross-section individuals. The random effects model identifies the starting point as random variable. Choosing between these two methods is the first step of the panel data analysis. In case assumptions of the random effects model are correct, both models give consistent results, but results of the random effects model are more effective. In case assumptions of the random effects model are not applicable, the random effects model gives inconsistent results (MÜSLÜMOV, HASANOV and ÖZYILDIRIM, 2002:11-12).

The estimation processes within the scope of the fixed effects (LSDV - fixed effects models) and random effects model (REM) will be discussed.

Using panel data; there are five models to be estimated including 1) Classic Least Squares Model (OLS), 2) One-Factor Fixed Effects Model (LSDV), 3) One-Factor Random Effects Model (REM1), 4) Two-Factor Fixed Effects Model (LSDV and TIME), and 5) Two-Factor Random Effects Model (REM2).

**Classic Least Squares Model (OLS):** In this model expressed by the equation above, data of all groups are gathered in a pool without the dummy variables reflecting the specific effects pertaining to each group, and effects of the explanatory variables on the dependent variable are investigated.

Assumptions of the OLS model are as follows:

$$E[e_{it}] = 0 ,$$

$$\text{Var}[e_{it}] = 2 ,$$

$$\text{Cov}[e_{it} , e_{js}] = 0, \text{ when } (t \neq s) \text{ or } (i \neq j).$$

**One-Factor Fixed Effects Model (LSDV) 189:** The purpose of this model called least squares dummy variable model is to estimate the unknown fixed term ( $\alpha$ ) expressing the specific effect pertaining to each group in the data set. The LSDV Model to be estimated is expressed as closed.

$$y_{it} = \alpha + \beta x_{it} + e_{it}$$

With matrix notation, this model is shown as:

$$\begin{bmatrix} y_1 \\ y_2 \\ \cdot \\ \cdot \\ y_n \end{bmatrix} = \begin{bmatrix} i & 0 & \dots & 0 \\ 0 & i & \dots & 0 \\ \cdot & \cdot & \cdot & \cdot \\ \cdot & \cdot & \cdot & \cdot \\ 0 & 0 & \dots & i \end{bmatrix} \begin{bmatrix} \alpha_1 \\ \alpha_2 \\ \cdot \\ \cdot \\ \alpha_n \end{bmatrix} + \begin{bmatrix} x_1 \\ x_2 \\ \cdot \\ \cdot \\ x_n \end{bmatrix} \beta + \begin{bmatrix} e_1 \\ e_2 \\ \cdot \\ \cdot \\ e_n \end{bmatrix}$$

Performance test of the coefficients pertaining to the dummy variable is based on the F statistics test. Zero hypothesis ( $H_0$ ) and alternative hypothesis ( $H_1$ ) is as follows.

$$H_0 : \alpha_1 = \alpha_2 = \dots = \alpha_n$$

$$H_1 : \alpha_1 \neq \alpha_2 \neq \dots \neq \alpha_n$$

Zero hypothesis expresses that the effective estimation model is OLS. If F statistics is above the table value, it is concluded that the coefficients pertaining to the dummy variables are different and the zero hypothesis is rejected. LSDV model is used as the estimation model instead of OLS model.

The fixed intersection coefficient in the OLS Model takes different values in the LSDV model. Main purpose of the model is estimating of these different fixed coefficients that are specific to the groups. The main assumption in the OLS model is that the fixed intersection coefficients specific to the groups do not change, whereas, they are different in the LSDV model.

**One-Factor Random Effects Model (REM1):** In the REM1 model also known as Error Component Model, differently from the LSDV model, it is assumed that the  $\alpha_i$ 's are not fixed variables, to the contrary, they are dependent random variables. REM1 may be expressed as follows:

$$y_{it} = \beta X_{it} + v_{it}$$

It is composed of two parts as above.  $\alpha_i$ , which does not change over time, is the term of specific effect pertaining to the group.

It is required to make changing variance (groupwise heteroscedasticity) test between the groups in the model in regard to choosing to use whether REM1 or OLS model. For this purpose, Lagrange Multiplier Test and Likelihood Ratio Test statistics are used. Zero hypothesis expresses that the group variances are equal (inter-group fixed variance).

Depending on the LM-test statistics, if  $H_0$  hypothesis is not accepted, REM1 model is preferred over OLS model. In panel data analysis, perception of the specific effects pertaining to the groups as fixed or random is one of the most important problems encountered in model selection. Hence, which of the LSDV and REM1 models will be selected as estimation model is an important problem. In LSDV model, the specific coefficients pertaining to the groups are fixed, whereas, in REM1 model, these coefficients are values taken randomly from this sample. Accordingly, for LSDV model, OLS is a BLUE (Best Linear Unbiased Estimator), whereas, in REM1 model, GLS is a BLUE.

In Hsiao (1993), determination of the specific effects pertaining to the groups as fixed or random has been left to the researcher's preference. (Gür, 1998) Content of the data, their obtainment and conditions method are of importance in this process. However, both models have specific disadvantages. While the Fixed Effects Model poses problem with regard to the degree of freedom, Random Effects Model poses problem in that there is no correlation between the specific effects and explanatory variables, and that it grounds on an arbitrary assumption.

Model identification test statistics is widely used at this point. This test assumes that the specific effect pertaining to the group is random. According to the null hypothesis, where there is no correlation between the explanatory variables and the specific effects pertaining to the groups, LSDV and GLS models are consistent, whereas OLS is not. If it is assumed that there is correlation between the specific groups pertaining to the groups and the explanatory variables, OLS would be consistent. Accordingly, Hausman test is used to determine whether there is correlation between the explanatory variables of the model and the specific effects pertaining to the group. In LSDV model, high values of Hausman statistics is preferred, whereas its low values are preferred in REM1. Hausman test statistics has (chi-square) distribution. In cases where test statistics is bigger than the table value, the hypothesis that there is no correlation between the specific effects pertaining to the group and the explanatory variables is rejected. In this case, LSDV model is preferred over REM1 model.

**Two-Factor Fixed Effects Model (LSDV and TIME):** This model incorporates group effect for each group ( $\alpha_i$ ), time effect for each period ( $\gamma_t$ ) and fixed coefficient ( $\alpha_0$ ). LSDV and TIME model is shown as:

$$Y_{it} = \alpha_0 + \alpha_i + \gamma_t + \beta x_{it} + e_{it}$$

**Two-Factor Random Effects Model (REM2):** It has the same structure with REM1 model, and incorporates the specific effect pertaining to the group determined randomly, as well as the specific effect pertaining to the time. REM2 model is shown as:

$$y_{it} = \beta x_{it} + w_{it}$$

$$\text{Where } w_{it} = \gamma_{it} + e_{it} + \alpha_i.$$

### Scope of the Study and Selection of the Data Set

In this study examining the effect of the changes in the oil prices on IMKB-100 index, we took a total of 8 independent variables which we thought to likely affect IMKB-100 index. The independent variables used in this study are oil prices (OILPRICE), oil importation amount

(OILIMP), foreign trade balance (FTRADE), interest rates (INTRATE), gold prices (GOLDPRICE), wholesale price index (WPI) (producer price index - PPI), budget balance (BDGTBLNC) and dollar exchange rate (DOLEXRATE). Our dependent variable is IMKB-100 index (IMKB100).

Balanced panel data set analysis is conducted in the study. In the balanced data set, equal number of data are available for periods and independent variables, there is no difference in data or missing data for any independent variable or period. The data used in our study are on monthly basis, and cover the period January 1997-December 2004. For oil prices, the oil price per barrel declared by OPEC was taken into account. The data were obtained from webpage of the organization named Energy Information Administration. In calculating the monthly oil prices, arithmetic mean of the weekly closing prices pertaining to the respective month was taken. DIE (TÜİK) Economical Indicators Yearbooks were used as data source for other independent variables and our dependent variable, IMKB-100 index.

### **Evaluation of Empirical Findings**

It is required to examine results of several tests for selecting which one among the models set up is more suitable to be used. First, if we consider whether we should select the classic least squares model or fixed effect models, we need to look at the F tests results. As seen in Table 1, since 7.81, the F test result of the OLS model, is lower than 67.14 and 36.30, the F test results of the fixed effect models; it is concluded that fixed effect models are more suitable than the OLS model. Moreover, when considered the R<sup>2</sup>'s, which indicate the explanatory power of the model, it is remarkable that explanatory power of the fixed effect models is higher compared to the OLS. Result of the Lagrange Multiplier Test (LM) used in comparison of the OLS model and REM1 model is checked. The high result of LM test is to the benefit of the REM1 model. Moreover, the fact that significance level of likelihood value of the LM statistics is 1% strengthens the result. On the other hand, according to Hausman test statistics used in

comparison of the fixed effects model and random effects model, the random effects model was found suitable. Further, two-factor models seem more suitable than one-factor models since they take into account the time effect, too.

As a result of all these tests, it was concluded that using the two-factor random effect model (REM2) would be more suitable. The regression equation achieved as a result of applying the REM2 model is as follows:

$$\text{IMKB100} = 17108.84734 + 68.4124 \text{ PF} - 8.41565 \text{ PI} - 0.21303 \text{ DTD} - 181.02736 \text{ FO} \\ + 6.40052 \text{ AF} + 460,98447 \text{ TFE} - 0.04843 \text{ BD} + 0.00072 \text{ DK}$$

While 84% of the change of IMKB index is explained with the variables in the model, the remaining 16% of the change is explained with other variables not included in the model. When examined the model, significance level of interest rates is 1%, significance level of wholesale price index is 5%, and significance level in explaining the change in oil importation amount is 10%. Among the variables in the model, effect of the oil importation amount, foreign trade balance, interest rates and budget balance on IMKB100 index is in negative direction, and effect of the other variables, i.e. oil prices, gold prices, wholesale price index and dollar exchange rate on IMKB100 is in positive direction. While 1 unit of change occurring in the international oil prices causes 68.412 units of effect on IMKB100 in positive direction, the changes in oil prices alone have no effect to change IMKB100 index. When t values are compared, effect of the oil importation amount on IMKB100 index is more powerful compared to oil prices. Moreover, 1 unit of change in the oil importation amount causes 8.41 units of change on IMKB100 index in the negative direction. Among the variables used in the models, interest rates and wholesale price index alone have important effect on IMKB100 index. In addition, 1 unit of change in the interest rates and wholesale price index causes 181.02 and 460.98 units of effect, respectively, on IMKB100 index. Among these two variables, when t values are compared, effect of the interest rates is more powerful compared to wholesale price

index. Among the variables in the model, effect of the foreign trade deficit is negative, but when considered the t value, it is seen not to be powerful. Besides this, 1 unit of change in the foreign trade causes 0.21 unit of change on IMKB100.

**Table 1:** Results of Model Tests

	<b>OLS</b>	<b>LSDV</b>	<b>REM1</b>	<b>LSDV and TIME</b>	<b>REM2</b>
<b>OILPRICE</b>	86.693 (0.3863)	32.349 (0.7087)	34.706 (0.6870)	92.644 (0.3188)	68.412 (0.4475)
<b>OILIMP</b>	-8.040 (0.1524)	-9.423 (0.0531) <sup>***</sup>	-8.844 (0.0624) <sup>***</sup>	-9.047 (0.0849) <sup>***</sup>	-8.415 (0.0916) <sup>***</sup>
<b>FTRADE</b>	-0.432 (0.4241)	-0.381 (0.4671)	-0.369 (0.4685)	-0.041 (0.9476)	-0.213 (0.7032)
<b>INTRATE</b>	-214.026 (0.0000) <sup>*</sup>	-165.681 (0.0000) <sup>*</sup>	-185.491 (0.0000) <sup>*</sup>	-161.889 (0.001) <sup>*</sup>	-181.027 (0.0000) <sup>*</sup>
<b>GOLDPRICE</b>	8.579 (0.2081)	5.571 (0.6835)	8.320 (0.4980)	0.981 (0.9470)	6.400 (0.6174)
<b>WPI (PPI)</b>	386.671 (0.0289) <sup>**</sup>	468.928 (0.0039) <sup>*</sup>	427.158 (0.0054) <sup>*</sup>	592.411 (0.0065) <sup>*</sup>	460.984 (0.0103) <sup>**</sup>
<b>BDGTBLNC</b>	0.022 (0.5399)	-0.052 (0.1845)	-0.0343 (0.3459)	-0.0847 (0.1160)	-0.0484 (0.2553)
<b>DOLEXRATE</b>	0.0012 (0.2308)	-0.00042 (0.8165)	0.000765 (0.6065)	-0.000593 (0.7690)	0.000715 (0.6396)
<b>R<sup>2</sup></b>	0.87	0.92	0.83	0.93	0.84
<b>F Test</b>	78.81	67.14		36.30	
<b>Hausmann Test</b>			32.35		4.54

<b>Lagrange</b>			40.84		42.49
<b>Multiplier Test</b>					

\* significant at the level of 1% \*\*significant at the level of 5% \*\*\*significant at the level of 10%

### **Conclusion**

As a result of this study, whereby we examined the effect of the oil prices on IMKB-100 index, it became evident that international oil prices did not have a direct effect of on IMKB-100 index, but that it was a factor among parameters explaining the changes in IMKB-100 index. We also derived the results that oil importation amount of our country was effective on IMKB-100 index, and that this effect was a factor which could effect IMKB-100 index directly. Besides this, we concluded that the change in international oil prices affected IMKB-100 index positively, but that effect of the oil importation amount was in the negative direction. In addition, two important parameters affecting IMKB-100 index directly were seen to be interest rates and wholesale price index. Among these, effect of the interest rates is in negative direction, whereas effect of the wholesale price index (producer price index-PPI) is in positive direction. When considered other variables, it is seen effect of the gold prices on IMKB-100 is positive, effect of the foreign trade is negative, effect of the budget balance is negative, and finally, effect of the dollar exchange rate on IMKB-100 index is positive. However, the fact that, among these variables, dollar exchange rate, budget balance and foreign trade do not have effect as much as the gold prices is another finding attained.

When considered all these results, it is concluded that oil importation amount, i.e. the oil cost of our country, is more effective on IMKB-100 index compared to international oil prices. It was seen within the framework of the model used that the indicators that will be followed and need to be paid attention to by the investors when directing their investments in IMKB-100 index included interest rates, wholesale price index (producer price index-PPI), oil

importation amount, budget balance, oil prices, gold prices, dollar exchange rate, and finally, foreign trade balance, according to the order of importance among the variables used in the model. A remarkable issue in this ordering of the effects on IMKB-100 index is that oil importation amount and international oil prices are ahead of the dollar exchange rate.

Why effect the international oil prices are lower than our expectation is mainly because IMKB is a rising market. Since such markets are more vulnerable to the effect of particularly speculative and manipulative news, it can be explained why effect of several parameters is lower.

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**ANNEXES**

**Table 1. OLS Model Test Results**

<b>OLS Without Group Dummy Variables</b>					
Unconditional ANOVA ( No regressors)					
	<b>Source</b>	<b>Variation</b>	<b>f</b>	<b>Mean Square</b>	
	Between	.298417E+10	.	.426311E+09	
	Residual	.426751E+09	8	.484945E+07	
	Total	.341093E+10	5	.359045E+08	
<b>Ordinary Least Squares Regression</b>					
Observation	= 96	Dep. Var	= IMKB100		
Mean	= 9915.739583	Weighting Variable	= none		
S.D.	= 5992.034942	Std. Dev.	= 2180.42419		
R-squared	= .878737	Sum of squares	= 413619718.7		
F[8, 87]	= 78.81	Adjusted R-squared	= .86759		
Log-L	= -869.4714	Prob Value	= .00000		
LogAmemiy aPrCrt.	= 15.464	Restricted (b=0) Log-L	= -970.7414		
Parameters	= 9	Akaike Info. Crt.	= 18.301		
Durbin- Watson Statistic	-	Deg. Fr	= 87		
<b>Panel Data Analysis of IMKB100 [ ONE way]</b>					
<b>Variable</b>	<b>Coefficient</b>	<b>Standard Error</b>	<b>T test (b/S. Er.)</b>	<b>P[ Z ]&gt;z</b>	<b>Mean of X</b>
<b>OILPRICE</b>	86.69368547	99.554737	.871	.3863	22.741266
<b>OILIMP</b>	-8.04035086	5.5690029	-1.444	.1524	323.66667
<b>FTRADE</b>	-.432995604	.53915710	-.803	.4241	-1711.3021
<b>INTRATE</b>	-214.026446	24.636792	-8.687	.0000	61.240208
<b>GOLPRICE</b>	8.579481251	6.7655466	1.268	.2081	316.71698

<b>WPI</b>	386.671650 9	174.0693 9	2.221	.0289	3.2808333
<b>BDGTBLN C</b>	.220901801 4E-01	.3589255 3E- 01	.615	.5399	-10784.183
<b>DOLEXR ATE</b>	.125464816 5E-02	.1039709 7E-02	1.207	.2308	887041.00
<b>Constant</b>	18052.0744 4	3146.487 9	5.737	.0000	

**Table 2. LSDV Model Test Results**

<b>Least Squares with Group Dummy Variables</b>					
<b>Ordinary Least Squares Regression</b>					
Observation	= 96		Dep. Var	= IMKB100	
Mean	= 9915.739583		Weighting Variable	= none	
S.D.	= 5992.034942		Std. Dev.	= 1771.28274	
R-squared	= .926414		Sum of squares	=250995403. 7	
F[15, 80]	= 67.14		Adjusted R-squared	= .91262	
Log-L	=-845.4948		Prob Value	= .00000	
LogAmemiyaPrC rt.	= 15.113		Restricted (b=0) Log-L	= -970.7414	
Parameters	= 16		Akaike Info. Crt.	= 17.948	
Estimated Autocorrelation of e(i,t)	= .402334		Deg. Fr	= 80	
<b>Variable</b>	<b>Coefficien t</b>	<b>Standard Error</b>	<b>t test (b/S. Er.)</b>	<b>P[ Z ]&gt; z</b>	<b>Mean of X</b>
<b>OILPRIC E</b>	32.349729 57	86.320758	.375	.7087	22.741266
<b>OILIMP 8</b>	9.4233683 8	4.8067346	-1.960	.0531	323.66667
<b>FTRADE 2</b>	.38145950 2	.52224729	-.730	.4671	-1711.3021
<b>INTRATE 8</b>	165.68146 8	35.867342	-4.619	.0000	61.240208
<b>GOLPRIC E</b>	5.5 71890229	13. 620819	409	6835	316.7 1698
<b>WPI</b>	468 .9289871	15 7.99131	2 .968	0039	3.280 8333

<b>BDGTBL NC</b>	- 2722953E- 01	.39420281 E-01	-1.337	.1845	-10784.183		
<b>DOLEXR ATE</b>	42689020 E-03	.18337875 E-02	-.233	.8165	887041.00		
<b>Least Squares with Group Dummy Variables</b>							
<b>Model</b>	<b>Log-Likelihood</b>	<b>Sum of Squares</b>	<b>R squared</b>				
(1) Constant term only	-970.74137	.3410925860D +10	.0000000				
(2) Group effects only	-870.97157	.4267513610D +09	.8748869				
(3) X-variables only	-869.47135	.4136197187D +09	.8787368				
(4) X and group effects	-845.49476	.2509954037D +09	.9264143				
<b>Hypothesis Tests</b>							
<b>Likelihood Ratio Test</b>				<b>F Tests</b>			
	Chi- squared	d.f.	Prob.	F	Num	Deno m	Prob value
(2) vs (1)	199.540	7	.000	87.90 9	7	88	.0000
(3) vs (1)	202.540	8	.000	78.80 6	8	87	.0000
(4) vs (1)	250.493	15	.000	67.14 5	15	80	.0000
(4) vs (2)	50.954	8	.000	7.002	8	80	.0000
(4) vs (3)	47.953		.000	7.405	7	80	.0000

**Table 3.** REM1 Model Test Results

<b>Random Effects Model: <math>v(i,t) = e(i,t) + u(i)</math></b>	
<b>Estimates:</b>	
Var[e]	= .313744D+07
Var[u]	= .113980D+08
Corr[v(i,t), v(i,s)]	= .784152
Lagrange Multiplier Test vs. Model (3)	= 40.84

(1 df, prob value		= .00000)			
(High values of LM favor FEM/REM over CR model)					
Fixed vs. Random Effects (Hausman)		= 32.35			
(8 df. Prob value		= 1.00000)			
(High(low) values of H favor FEM(REM.))					
<b>Reestimated using GLS coefficients:</b>					
Estimates:					
Var[e]		= .317081D+07			
Var[u]		= .241766D+08			
Sum of squares		= .546955D+09			
R-squared		= .839646D+00			
<b>Variable</b>	<b>Coefficient</b>	<b>Standard Error</b>	<b>t test (b/S. Er.)</b>	<b>P[ Z ]&gt;z</b>	<b>Mean of X</b>
<b>OILPRICE</b>	34.70629893	86.129371	.403	.6870	22.741266
<b>OILIMP</b>	-8.844792412	4.7466988	-1.863	.0624	323.66667
<b>FTRADE</b>	-.3690017992	.50903361	-.725	.4685	-711.3021
<b>INTRATE</b>	-185.4914803	31.800269	-5.833	.0000	61.240208
<b>GOLPRIC E</b>	8.320132869	12.276884	.678	.4980	316.71698
<b>WPI</b>	427.1581975	153.53583	2.782	.0054	3.2808333
<b>BDGTBLN C</b>	-343323982E- 01	.36420974 E-01	-.943	.3459	-0784.183

<b>DOLEXRA</b>	.7657678691	.14866249	.515	.6065	887041.00
<b>TE</b>	E-03	E-02			
<b>Constant</b>	17631.22208	5722.3050	3.081		

**Table 4.** LSDV and TIME Model Test Results

<b>Least Squares with Group Dummy Variables and Period Effects</b>					
<b>Ordinary Least Squares Regression</b>					
Observation	= 96		Dep. Var	= IMKB100	
Mean	= 9915.739583		Weighting Variable	= none	
S.D.	= 5992.034942		Std. Dev.	= 1793.09707	
R-squared	= .934959		Sum of squares	= 218.633403.5	
F[27, 68]	= 36.20		Adjusted R-squared	= .90913	
Log-L	= -838.8689		Prob Value	= .00000	
LogAmemiyaPrCrt.	= 15.239		Restricted (b=0) Log-L	= -970.7414	
Parameters	= 28		Akaike Info. Crt.	= 18.060	
Estimated Autocorrelation of e(i,t)	= .328887		Deg. Fr	= 68	
<b>Variable</b>	<b>Coefficient</b>	<b>Standard Error</b>	<b>t test (b/S. Er.)</b>	<b>P[ Z ]&gt;z</b>	<b>Mean of X</b>
<b>OILPRICE</b>	92.64491647	92.402795	1.003	.3188	22.741266
<b>OILIMP</b>	- 9.047265572	5.1915614	-1.743	.0849	323.66667

<b>FTRADE</b>	-.410330701E-01	.62290255	-.066	.9476	-1711.3021		
<b>INTRATE</b>	-161.8894604	38.262584	-4.231	.0001	61.240208		
<b>GOLPRICE</b>	.9814132818	14.735072	.067	.9470	316.71698		
<b>WPI</b>	592.4111899	212.43231	2.789	.0065	3.2808333		
<b>BDGTBLNC</b>	-.847847211E-01	.53409415E-01	-1.587	.1160	-10784.183		
<b>DOLEXRAT</b>	-.593064784E-03	.20130747E-02	-.295	.7690	887041.00		
<b>Constant</b>	17938.40570	6678.1070	2.686				
<b>Test Statistics for the Classical Model</b>							
Model	Log-Likelihood		Sum of Squares		R squared		
(1)Constant term only	-970.74137		.3410925860D+10		.0000000		
(2)Group effects only	-870.97157		.4267513610D+09		.8748869		
(3)X-variables only	-869.47135		.4136197187D+09		.8396461		
(4)X and group effects	-845.49476		.2509954037D+09		.9264143		
(5)X ind.&time effects	-839.56966		.2218486007D+09		.9349594		
<b>Hypothesis Tests</b>							
<b>Likelihood Ratio Test</b>			<b>F Tests</b>				
	Chi-squared		Prob.	F	num.	denom	Prob value
		.f.					
(2) vs (1)	199.540		.00000	87.909		88	.00000

(3) vs (1)	202.540		.00000	78.806		87	.00000
(4) vs (1)	250.493	15	.00000	37.250	15	80	.00000
(4) vs (2)	50.954		.00000	8.078	8	80	.00000
(4) vs (3)	47.953		.00000	7.327	7	80	.00000
(5) vs (4)	11.850	1	.37501	.824	11	69	.61646
(5) vs (3)	59.803	9	.00000	5.322	19	69	.00000

**Table 5. REM2 Model Test Results**

<b>Random Effects Model: <math>v(i,t) = e(i,t) + u(i) + w(t)</math></b>	
<b>Estimates:</b>	
Var[e]	= .321520D+07
Var[u]	= .113915D+08
Corr[v(i,t), v(i,s)]	= .779882
Var[w]	= .694230D+06
Corr[v(i,t), v(j,t)]	= .177578
Lagrange Multiplier Test vs. Model (3)	= 42.49
(2 df, prob value)	= .000000)
(High values of LM favor FEM/REM over CR model)	
Fixed vs. Random Effects (Hausman)	= 4.54
(8 df. Prob value)	= .805888)
(High(low) values of H favor FEM(REM.))	
<b>Reestimated using GLS coefficients:</b>	

Estimates:					
Var[e]		= .327569D+07			
Var[u]		= .237175D+08			
Var[w]		= .107712D+07			
Sum of squares		= .544032D+09			
R-squared		= .840503D+00			
Variable	Coefficient	Standard Error	t test (b/S. Er.)	P[ Z ]>z	Mean of X
<b>OILPRICE</b>	68.41239899	90.059288	.760	.4475	22.741266
<b>OILIMP</b>	-8.415651660	4.9888540	-1.687	.0916	323.66667
<b>FTRADE</b>	-.2130276858	.55905731	-.381	.7032	-1711.3021
<b>INTRATE</b>	-181.0273595	33.300861	-5.436	.0000	61.240208
<b>GOLPRICE</b>	6.400521160	12.814626	.499	.6174	316.71698
<b>WPI</b>	460.9844725	179.59501	2.567	.0103	3.2808333
<b>BDGTBLNC</b>	-.48433440E-01	.42579295E-01	-1.137	.2553	-10784.183
<b>DOLEXRAT</b>	.7155092225	.15280920E-02	.468	.6396	887041.00
<b>E</b>	E-03				
<b>Constant</b>	17108.84734	5995.0957	2.854	.0043	

**Case study of Transboundary Dispute Resolution:  
The Water Diplomacy Model for the Euphrates and Tigris Basin**

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**Abstract**

Water security has a major role in shaping the Middle East. The region's water issues include the military actions is considered in the context of environmental security and therefore, water and security are seen and developed in the framework of "common security". In the entire region, only four countries are self-sufficient in water are Turkey, Iraq, Iran and Lebanon, and are over the critical threshold. However, Turkey has below average rainfall. Another important point about its water resources that has to be emphasized is the unbalanced distribution of the preparations throughout the year and among its regions. Also, the people are living in troubled days under increasing water stress, especially even in cases of natural drought occurred in recent years, due to various reasons such as rapidly increasing population, and climate change. Therefore, the Euphrates and Tigris Rivers which are one of the most important transboundary waters in the region, has become an important. The Euphrates River originates in eastern Anatolia in Turkey and flows through Syria before reaching Iraq, where it joins the Tigris River. But the issues are limiting and affecting their regional integration, national security, trade and stability due to using of basin's waters sometimes, may occur among Turkey and its border neighborhoods, Syria and Iraq. This study attempts to analyze comparatively the hydro-politics of the three riparian in the context of recent diplomatic initiatives. Also, it highlights the importance of the Three-Staged Plan as a water diplomacy model for the Euphrates and Tigris Basin.

*Keywords:* water diplomacy, the Euphrates and Tigris Basin, Turkey, Syria, Iraq, the three-staged plan.

### **The Middle East, Turkey, and the Tigris and Euphrates Basin**

In the Middle East water, insecurity is a known issue of the region. This insecurity affects directly the quality of life of the region's people, has the potential to create a threat to national security in terms to be a source of conflict in a country and inter countries. Since the dawn of history, this natural resource which is continuous vital value to all the region, therefore, is both to constitute one of the high policies, and to consider and to issue under national security.

From 14 countries in the region, only Iraq, Iran, Lebanon and Turkey are located above the critical threshold. Using approximately 320 cubic meters of water per capita annually (OECD, 2009) Palestine has experienced significantly more water insecurity. Jordan and Israel have also same situation. For example, it is indicated that the 2.3% of the total water consumption of Syrian refugees constitutes in Jordan recently, and puts a serious pressure on its water resources (Farishta, 2014: 4). Forming appropriate infrastructure systems in order to ensure their high living standards and increasing of constantly water demand with new migrations, the countries such as Saudi Arabia, Kuwait, Qatar, Bahrain and the United Arab Emirates, as well as Israel, are among the countries with the lowest rates in terms of water resources.

Nile, Jordan, Tigris and Euphrates rivers are the most important rivers in the region. While a large part of the region devoid of continuously flowing water, there are no shortages along these rivers. But it does not mean these countries cannot experience the water problems arising due to factors such as population, climate change, the salinization of agricultural areas, water pollution in the future. Because the basins of these rivers mentioned sometimes may be subject to disputes among countries. For example the problems can arise due to allocation of the waters of the Euphrates and Tigris between Turkey and its neighborhoods, Syria and Iraq. Initially, while these countries meet their basic needs within their natural regimes, these countries have begun to realize large-scale storage systems with unilateral projects along with gaining

geopolitical and strategic importance of water and increasing their needs especially since the 1950s. (Colakoglu, 2008)

On the other hand, the water wars scenarios in the Middle East come up continuously. The water is estimated to be one of the main factors would be determined relations among these region countries in the future, and this may cause a war. However, this situation is essentially different, and real intents are hidden. These forces directing the capital, intend to create a stressful area by raising the arguments on water wars in the region, and they are willing to take, only this issue which will be regional qualified, toward the areas including themselves on an international scale. Thus they are a legitimate cover up for their own imperialist purposes with this scenarios. If it is desired to achieve a lasting peace and to solve the water disputes in the Middle East, the implementation of a regional cooperation policy and strategy to reduce the interference to the subject of the dominators of the capital in the rest of the world outside the region, is necessary. Because it is clear that this issue has a regional character, not global. (Colakoglu, 2008) Therefore the three riparian countries are necessary to develop a new diplomatic language based on mutual trust.

This study argues to interpret the Three-Staged Plan for Optimum, Equitable and Reasonable Utilization of Transboundary Watercourses of the Tigris-Euphrates Basin (“The Three-Staged Plan”) in the framework of water diplomacy model. A further example of advanced cooperation is based on the Euphrates and Tigris Basin, where the Three-Staged Plan has been presented by Turkey since 1980s. It aims to access a common goal as a result of all comparisons to optimum, equitable and reasonable utilization of water of the basin. From this aspect, therefore, by bridging divided for the basin’s waters, this plan can also provide an innovative and integrative approach to address complex water issues in a judicious way. In this study, first of all, it is addressed the region’s necessity by overviewing of the transboundary water issues in the Middle East, and draw attention the importance of the Euphrates and Tigris

Basin. Afterwards, the Three-Staged Plan which gives direction to this study, explains as a water diplomacy model in details. Turkey has presented own opinions and attitudes on this issue with own plan by three countries for national and optimum use of Euphrates and Tigris waters in a judicious way; but also, it offers opportunities for other riparian, Syria and Iraq. Finally, the comparative analysis of the hydro-politics of the riparian in the context of recent diplomatic initiatives, is explained.

### **The necessity of transboundary water diplomacy in the Middle East**

Transboundary water diplomacy can be broadly defined as a water cooperation among countries on bilateral or basin-wide. As is known that this term derived from “water diplomacy”, also referred as “hydro-diplomacy”, and is one of many levels occurred in diplomacy. This level of diplomacy addresses the contact that exists between riparian countries to solve and to prevent water disputes, to make treaties, and to ensure regional integration. Therefore the steps in this field can offer good practices for issues emerging between countries on utilization of transboundary and boundary waters. This is because promoting water diplomacy and effective cooperative strategies for transboundary waters can give a problem-solving opportunity in which riparian countries discuss their differences and attempt to reach a joint decision on their common concerns, and also help achieve desired water-related goals.

However the success or failure of water diplomacy depends on the acceptance of four key assumption. The type of diplomacy, first of all, should not accept that water is a not “fixed” and “scarce” resource; conversely, can be “expandable” resource by using all available technical knowledge such as desalination, recycling, and virtual water trade. Since, water is only “limited” resource, and thus should be maintained to its quantity and quality. In this respect, it is important to use techniques and methods ensuring sustainable management of water resources. Secondly, for this diplomacy, water networks are wide open, not closed, and the intersections between political, social, and natural relations are extremely complex. Also

traditional engineering methods, and economic approaches and modellings, are far away from making a contribution into solving the water problem. Thirdly, the management of water network must take account of uncertainty regarding future hydrology, weather, available water supply, and projected water demand. Finally, this management requires to be adaptive and reflects an approach of creating value to water negotiations. The new values can create by a ready of all parties at the negotiation table, and a tolerance to be evaluated different options instead of the fixed and unchanging negotiation techniques. Having mutual understanding of benefit of a solution which is put forward by any parties is another value component. Also a presence of mediator can provide some suggestions for improving joint gains and potential exchange. Thus, being addressed or redefined by divided into parts of the disputed issues will be an important development at the negotiations. Moreover, the uncertainties of information, action and perception between all parties can be eliminated step by step. In accordance with these presumptions, the existing problems among riparian countries can overcome by the water diplomacy based on the development of joint research and problem-solving skills with open-ended negotiations. (Islam and Susskind, 2013: 10-53) Actually, there is a need to develop a water diplomacy to avoid possible conflicts to be greatly affected by water scarcity which may arise in regions such as the Middle East.

Today the Middle East's water resources is one of the most sensitive issues, and also are used as a key tool to establish diplomatic and political pressure at times, by raising the prospects for increased demographic pressures, social unrest, religious and ideological extremism, and terrorism in the region. Approximately 6% of the world's population (United Nations, 2014) live in this region's rivers basins. The region as the world's most water scarce region (The International Bank of Reconstruction and Development & The World Bank., 2009), has five main transboundary water bodies: the Euphrates and Tigris Basin, the Jordan River Basin, the Litani River Basin, the Orontes River Basin, and the Nile basin. The region's countries where

these river basins originated tend to try and take the most control over them. For example the Jordan River Basin with a total area of about 18.500 km<sup>2</sup> of which 40% is located in Jordan, 37% in Israel, 10% in the Syria, 9% in the Palestine, and 4% in Lebanon (FAO, 03.03.2015) has five riparians – Israel, Jordan, Syria, Lebanon and Palestine. However, the basin is the major source of water only for approximately 60% of the water used in Israel, and 75% of the water used in Jordan (Kusky, 2010: 426), and it is entirely controlled by these two countries<sup>175</sup>. Also the Jordan River located to a strategic zone on the Israel-Syria border, rises in Golan Heights and empties into the Dead Sea. Therefore Israel does not want to withdraw from the heights where secured by Israel from Syria in June 1967 War; it also means losing control of this river border. Moreover Israel and Jordan recently have agreed to a plan to create a desalination plant to save the Dead Sea (Morris, 03.03.2015).

The entire Litani River Basin is located within the borders of Lebanon. The river rises in the fertile Beqaa Valley, west of Baalbek, and flow into the Mediterranean Sea north of Tyre. At 140 km in length, it is the longest and largest river in Lebanon and, provides an annual average flow estimated at 770 million m<sup>3</sup>. (Development Alternatives, Inc., 2003: 3) Israel had met its basic water requirements for many years, during the 1978 South Lebanon conflict, 1982 Lebanon war and 1982–2000 South Lebanon conflict. However the region's other countries involving Israel trying to bring to the international agenda for irrigation of the lands of Israel and Palestine by diverting.

The Orontes River, also known as the Asi River (“al-Asi” in Arabic), is one of the region's other river basins with a total area of approximately 24.660 km<sup>2</sup> of which 69% is located in the Syria, 23% in Turkey and 8% in Lebanon. (FAO, 04.03.2015) To share the river's waters is the amount of water originating from their lands, and also do not rely on any multilateral agreement.

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<sup>175</sup> “In 1994, Israel and Jordan signed a peace treaty that included a detailed agreement regarding water sharing and seasonal transfers across borders, but within the basin. Although the agreement was bilateral and the three other riparian entities – Syria, Lebanon and the Palestinian territories – were not included, given the political dynamics, it was a remarkable accomplishment.”; (Susskind and Islam, 2012).

But there are only bilateral agreements: 1994 Agreement on the Distribution of Orontes River Water Originating in Lebanese Territory related to water allocation between Lebanon and Syria, and also 2009 Memorandum of Understanding concerning the construction of the joint Orontes River Friendship Dam which supposed to be built at the border between Syria and Turkey. However the change in relations between Syria and Turkey which has become apparent since April 2011, has reflected on the 2009 Memorandum of Understanding. Turkey's insistence on the necessity to reform by Bashar al-Assad continues. The present relations of the two countries have become more distant and increasingly strained compared to the last ten years. The continuous cooperation on water of both countries, will become absolute when the Syrian's internal balance will be shaped. The joint project to set up a dam on Orontes River Basin during the Syria's internal disorder, even if the continuation at the Turkey's side of it, is affected by this process, and the exemplary cooperation of the two countries is the process of waiting for a while.

The Nile River is one of the world's longest rivers stretching 6,695 kilometers, and covers about 3.2 million km<sup>2</sup>. Burundi, Democratic Republic of the Congo, Egypt, Ethiopia, Kenya, Rwanda, South Sudan, the Sudan, Tanzania, Uganda share this basin which is about one tenth of the land area of Africa. (Nile Basin Initiative, 03.03.2015) This basin has led to some disputes among these countries because of their different relationships, locations and approaches. But having a natural historical right on the Nile River Basin, downstream Egypt has been in control of the river for a long time. Thus Egypt has a right to say on strategic decisions regarding the river, and generally moves together with other downstream Sudan. Egypt has frequently tried to prevent the projects of Ethiopia, which is based on the basin, because of belief which Israel is behind these projects as the guiding force (Erol, Şen, Şüküroğlu, Ekrem, Nuraniye, Kaya, and Ökmen, 2003: 54-55). Briefly, there is a desire to be only power and monopoly over the basin.

As one of the main basins in the region, the Euphrates and Tigris Basin is addressed and discussed below. The Three-Staged Plan in light of the recent developments, is reinterpreted based on the water diplomacy with the aim of promoting cooperation among riparian countries. This can provide alternative opportunities to avoid such disputes for all over the basin. Moreover, Turkey, in line with the general principles of **the 1997 United Nations Convention on the Law of the Non-Navigational Uses of International Watercourses**, has developed The Three-Staged Plan for Optimum, Equitable and Reasonable Utilization of Transboundary Watercourses of the Tigris-Euphrates Basin. Turkey wishes these waters to bring peace to her neighbors, and for this, has proposed to develop common scientific and technology-based strategies in a Three-Staged Plan to Syria and Iraq. Turkey has presented its opinions and attitudes on this issue with own plan by three countries for national and optimum use of Euphrates and Tigris water in a judicious way.

**Relevant parties: Turkey, Syria and Iraq**

The importance of the Euphrates and Tigris Basin comes from being the source of conflicts on distribution of the waters of rivers among three countries – Turkey, Syria and Iraq. As the upstream country Turkey has complete unilaterally control over the sources of both rivers and has the advantage in ability to use their water. Accordingly, Turkey has benefited by realizing large scale irrigation and hydroelectric power generation projects in the basin like other riparian countries, but its benefits conflicts with the other downstream riparian countries. Therefore the countries have some problems occasionally arising water insecurity, using and allocation, but the problems tending to grow persistently.

**The Water potential of Euphrates and Tigris Basin**

The water amount of the Euphrates and Tigris Basin is almost equal to that of the Nile River Basin. The rivers which flow to the sea as a single river, forming one single basin, rise in the high mountains of north-eastern Anatolia and flow down through Turkey, Syria, and Iraq

and ultimately join to form the Shatt-al-Arab which has a length 200 km before they flow into the Gulf. Both river which account for approximately one third of water potential in Turkey, cross the south-eastern Anatolia region which receives less precipitation compared to other regions of it. Therefore Turkey has begun projects to utilize this potential of the basin for own sustainable development since 1960's, just like in other riparian countries. Turkey contributes 31 billion m<sup>3</sup>, or about 89% of the annual flow of 35 billion m<sup>3</sup> of the Euphrates River which is the longest river in the region. Only the remaining 11% comes from Syria, while Iraq does not have any contribution to the flow. The Tigris River's average annual flow of 49 billion cubic meters (about 51.8%) come from Turkey,<sup>176</sup> while the rest of them originates from Iraq. But no Syrian waters drain into the Tigris. (Republic of Turkey Ministry of Foreign Affairs, 08.03.2015) This means that Turkey, as the upstream riparian of both Euphrates and Tigris, has the possibility to control this basin.

### **Their positions, arguments and views**

The importance of the transboundary Euphrates-Tigris basin arises from both the water potential those two rivers carry and the possibility of a conflict that may bring about because of water scarcity in the region. Turkey as an upstream country has the chance to be able to control those rivers. It resorts to have benefited trying to carry out macro-scale irrigation with hydroelectric power like other countries which have the coast to the rivers. But this position of Turkey does not suit the expediencies of Syria and Iraq, thus there are occasionally some problems rooting in water insecurity among them and these problems tend to get worse. Hydro-

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<sup>176</sup> However, the total annual water potential of both rivers is reduced. According to a new study published in the February 2013 and carried out by NASA by reviewing satellite images, dry spells and climate change from 2003 to 2009, led to a loss of 144 billion m<sup>3</sup> (117 million acre feet) of water from the Euphrates and Tigris Basin - the roughly equivalent to the volume of the Dead Sea, and this loss or trend will affect directly Turkey, Syria, Iraq and Iran in the region. Also, while the contribution of groundwater in the region to the demand for water is about 52%, the amount of actively drawn water was about 60% at the Report. (NASA, 04.03.2013; Voss, Famiglietti, Lo, Linage, Rodell, and Swenson, 2013: 904-914).

political problems caused by those three countries' reconstruction based on the access and allocation and the projects on water are seen.

All the arguments of Turkey about the transboundary Euphrates-Tigris basin provide the right to water. Turkey supports equitable and reasonable use of the rivers, sharing benefits and refraining from causing significant harm to the countries. Because, in addition the principle of "two rivers, one basin" is the only sine qua non, the rivers are capable of meeting the needs of only these three countries. On the other hand, Turkey is ready to discuss the question of the two rivers' waters with an integral approach and in all its dimensions. The idea that by all sizes of the rivers' water and an integrated approach, data and information exchanging, which is demanded heartily, with the other countries should be mutual is another fundamental principle.

Since 1970s when Turkey began building up big dams and institutions on the rivers, it has faced serious problems with both of two countries, especially Syria. When the Dam Karakaya as part of the Southeastern Anatolian Project ("Güneydoğu Anadolu Projesi" in Turkish) which covers an area of approximately 75,358 km<sup>2</sup> (Çarkoğlu and Eder, 2001: 48), has about one third of the total water potential of Turkey (Odemis, Sangun, and Evrendilek, 2010: 476) and includes 22 dams and 19 hydropower installations<sup>177</sup> on the both rivers, was just a transitory project, Syria oppressed international foundations, which financed the dam such as the International Monetary Fund and the World Bank liaising with Iraq and they succeeded somewhat. While the Ataturk Dam was being set up, Syria claimed that Turkey tried to put political pressure on neighboring countries, damaged neighborhood relations, led to massive loss on agriculture and affected its hydrological power and water supply in a negative way. Syria struggled for the subject's being addressed on international platform with its assertion

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<sup>177</sup> "As of 2013, 10 Hydroelectric Power Plants (HPP) have been completed; the physical realization of 74% related to GAP energy investments was achieved. 20.6 billion kilowatt-hours of electricity-production capacity per year in the region has been created by HPP operated."; (Türkiye Cumhuriyeti Kalkınma Bakanlığı GAP Bölge Kalkınma İdaresi Başkanlığı, 27.02.2015; T.C. Kalkınma Bakanlığı Güneydoğu Anadolu Projesi Bölge Kalkınma İdaresi Başkanlığı, 2013)

that Turkey tried to rule the countries in the aspects of economic and politic within the framework of dependency on water and regulations' being assigned by United Nations (U.N.) International Law Commission. While says that institutions like International Court of Justice can solve the problems of sharing water, Syria demands that there should be supervisors on the negotiations the countries that will organize and those should be supervisor during the process of water sharing by U.N. However, Turkey is on the side of solving the problems by negotiating with the countries instead of carrying it to international platform.

Syria, which has supported terrorism to date, continually brought the Euphrates to the agenda. Turkey tried to prevent the demands Syria possessed on the city of Hatay by making the problem of Orontes River internationally known. Until the death of president Hafiz Essad, this policy of Syria continued after his son Beshar Essad became the president of the country, the policy changed a bit and Turkey – Syria relations entered a relatively recovery term. Over the reign of Beshar Essad, it has been propounded that they have abandoned the idea claiming that the city of Hatay is within their borders on maps to some degree even if it is not official. On the relations with Turkey, those kind of concrete steps have been taken. The dam to be built up on Orontes River is the most concrete indicator of that. In the framework of Memorandum of Understanding signed with Syria in November 2007, mutual visits and exchange of views were determined to done in order to improve collaboration based on sustainable progress bottomed on water between two countries in the basin of the Euphrates and the Tigris. On the project in which the dam set-up on Orontes River foreseen to be a joint production is predicted to be carried out, common pilot irrigation projects on the district utilizing the water of the Tigris. Therefore, the matter of water seems to turn into a cooperative tool instead of a problem in the forthcoming years. But this moderate policy is at risk of altering due to delicate balances; the Euphrates-Tigris basin is a national security issue for Iraq, as well as Syria, and this issue constitutes high policy field.

Iraq rejects the problems derived from the Tigris being mutual negotiation subject between Syria and Turkey. It demands that the problems of the Euphrates-Tigris basin should be negotiated separately and Syria should not have a right to talk on the Tigris. To Iraq, its main reason is that the Euphrates-Tigris basin is two different basins and Iraq has the preliminary access right coming from history. The projects of Turkey lessening the water of the Tigris also irritate Iraq. Nevertheless, because of six projects Turkey construct on the Tigris as part of the Southeastern Anatolian Project, Iraq will not experience a significant loss of water as that river basin is not appropriate for irrigated agriculture. These dams arranging the water of the Tigris have the goal of producing electricity. Hence, this country does not give any damage to Iraq and conversely in favour of it.

The main problem of both riparian, Syria and Iraq, arises essentially from their prejudices against Turkey. The unstable political situation in the region is only reflected in the bilateral or trilateral relations. Because their claims are unrealistic; the cause of problems such as water supply, pollution and sanitation has been originated from poor water-management practices. For example, salinity problems in these riparian are caused largely by irrigated agriculture as a result of excessive water uses. The real issue is not being able to use more water, but the situation of lack of qualified water.

Briefly, the concern over their water management is not related to Turkey's allocation them with more water, as claimed by their experts<sup>178</sup>. Also, essentially, it is known by both Syria and Iraq, and also the international community that these claims are unfounded (Maden, 27.02.2015; Republic of Turkey Ministry of Foreign Affairs, 27.02.2015). Therefore, Syria and Iraq should be quit their unreal claims and collaborate with Turkey for greater water diplomacy which can help to improve mutual trust in the basin.

### **Legal and institutional arrangements**

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<sup>178</sup> For their claims; (Jongerden, 2010: 138-139; Iran Times International [Washington, DC], 2009: 5; El-Sherbini and Sinha, 1978: 91; Droogers, Salemi, and Mamanpoush,, 2001: 335-336; Anjarini, 27.02.2015).

Till today, the Turkey's regime in the Euphrates-Tigris Basin has based on bilateral agreements, and other legal and institutional arrangements, summarized in the below Table 1, among the riparian, and has substantially solved. Until the 1990s, Turkey has made several agreements that also remain valid now, with both riparian. For example, Turkey signed by Iraq only two arrangements: the Additional Protocol No. 1 to the Treaty of Friendship and Good Neighbourly Relations on 29 March 1946, and the Agreement on Economic and Technical Cooperation on 07 February 1976. The Additional Protocol No. 1 to the Treaty of Friendship and Good Neighbourly Relations which aims of stimulating development, and strengthening cooperation in all fields with Iraq, addresses the regular water intake of Iraq, and the needs to be done against flooding that may occur during the annual floods. The other arrangement is the Agreement on Economic and Technical Cooperation which involves the activities to exploit the waters of the Euphrates and Tigris rivers. The parties decided on the later establishment of an Economic and Technical Cooperation Joint Committee which was subsequently included Syria, in order to sustain economic and technical cooperation between Turkey and Iraq. During the fifth meeting of the committee, Turkey proposed the Three-Staged Plan for optimum, equitable, and reasonable utilization of the transboundary watercourses of the Tigris-Euphrates Basin in 1984. The plan reflects the river basin approach in an integrated manner, and aims to reveal the real needs of the riparian.

*Table 1: Legal Arrangements regarding the Euphrates and Tigris Basin*

<i>All riparian countries</i>	<i>Main basin agreements</i>	<i>Date</i>
<i>Turkey and Iraq</i>	The Additional Protocol No. 1 to the Treaty of Friendship and Neighbourly Relations	Signed 29 March 1946 and entered into force 10 May 1948
	The Agreement on Economic and Technical Cooperation	Signed 07 February 1976
	Memorandum of Understanding between the Ministry of Environment and Forestry of the	Signed 15 October 2009

	Republic of Turkey and the Ministry of Water Resources of the Republic of Iraq on Water	
<b>Turkey and Syria</b>	<i>The Turkish-French Agreement</i>	<i>Signed 20 October 1921</i>
	<i>The Convention on Friendship and Good Neighbourhood Relations</i>	<i>Signed 30 May 1926</i>
	The Final Demarcation Protocol	Signed 03 May 1930
	The Final Protocol to Determine Syria-Hatay Border Limitation	Signed 19 May 1939
	The Protocol signed between Turkey and Syria Experts on Equal Sharing of Cagcag Water in Turkey	Signed 13 May 1952
	Protocol on Matters Pertaining to Economic Cooperation between Syrian Arab Republic and Turkey	Signed and entered into force 17 July 1987
	Joint Communiqué on Cooperation between the Syrian Arab Republic and Turkey	Signed and entered into force 20 January 1993
	Joint Communiqué between Republic of Turkey Prime Ministry Southeastern Anatolia Project Regional Development Administration (GAP) and Arab Republic of Syria Ministry of Irrigation General Organization for Land Development (GOLD)	Signed 23 August 2001
	Implementation Protocol between Republic of Turkey Prime Ministry Southeastern Anatolia Project Regional Development Administration (GAP) and Arab Republic of Syria Ministry of Irrigation General Organization for Land Development (GOLD)	Signed 25 July 2003
	Memorandum of Understanding between the Government of the Republic of Turkey and the Government of the Syrian Arab Republic for Water Withdrawal from the Tigris River	Signed 23 September 2009
Memorandum of Understanding in the Field of Remediation of Water Quality between the Government of the Republic of Turkey and the Government of Syrian Arab Republic	Signed 23 September 2009	
Memorandum of Understanding between the Government of the Republic of Turkey and the Government of the Syrian Arab Republic in the Field of Efficient Utilization of Water Resources and Combating Drought		
<b>Syria and Iraq</b>	Joint Minutes Concerning the Provisional Division of the Waters of the Euphrates River	Signed 17 April 1989
	Agreement on Setting Up a Syrian Pumping Station on the River Tigris between Syria and Iraq	Signed 9 April 2002

*Source:* (Colakoglu, 2008; Kirschner and Tiroch, 2013: 84-85)

Compared to Iraq, it can be seen that there are more agreements about the basin with the other riparian. By Syria, Turkey signed the Turkish-French Agreement on 20 October 1921; the Convention on Friendship and Good Neighbourhood Relations on 30 May 1926; the Final Demarcation Protocol on 03 May 1930; the Final Protocol to Determine Syria-Hatay Border Limitation on 19 May 1939; the Protocol signed between Turkey and Syria Experts on Equal Sharing of Jaghjagh Water in Turkey on 13 May 1952; and the Protocol of Economic Cooperation signed by Turkey and Syria on 17 July 1987.

The Turkish-French Agreement, also known as the Ankara Agreement, signed between Turkey and France as Syria's mandatory on October 20, 1921. The agreement has the distinction of being the first treaty with Syria on shared waters (*ortak sular*). Article 12 of the agreement explains that Kuveik waters between the city of Aleppo and north of the Turkish side will share at an equal level that can provide the satisfaction of both sides, and also the city of Aleppo will take water from the Euphrates River by meeting their costs when needed. It was decided to providing water for the need of the region and the city of Aleppo, and was brought the benefit obligation of Turkey to Syria, referred to in Article 12 of The Turkish-French Agreement in the Article 13 of the Convention on Friendship and Good Neighbourhood Relations concluded by France on May 30, 1926. However this convention was cancelled by Turkey on December 03, 1937, and therefore was not applied. The Final Demarcation Protocol signed in the city of Aleppo on 03 May 1930. It explains that solving of problems such as sailing, hunting, and managing of the river's waters concerning issues arising from their position as partners between both sides based on the principles of equality. The Final Protocol to Determine Syria-Hatay Border Limitation on 19 May 1939, addresses the principle of equality on benefiting from the three rives – Karasu, Afrin and Orontes. The Protocol signed between Turkey and Syria Experts on Equal Sharing of Jaghjagh Water in Turkey on 13 May 1952, agrees on the equal sharing of the water of the Jaghjagh River between two sides, and on

contributing of the expenses of Turkey's constructed facilities in extend of obtainable benefits of Syria, if Syria provides any benefit from the facilities to be built on the river by Turkey. The final protocol between both sides is the Protocol of Economic Cooperation signed in Damascus on July 17, 1987. This protocol provides that a yearly average of more than 500 m<sup>3</sup>/s, at the Turkish and Syrian border during the filling of reservoir of the Ataturk Dam and until the final allocation between the three countries of the Euphrates's waters, and also if the monthly this flow falls below this amount, the difference makes up at the next month.

In addition to all of these agreements, Article 109 of Treaty of Peace with Turkey signed at Lausanne, July 24, 1923, constitutes a general legal framework regarding this issues, and regulates an agreement could be made between these countries in the future to ensure the continuation of their existing water regimes due to the redrawing of their boundaries. Also, the water regime in one of the riparian by this agreement, if this depends on water facilities in another country, does not change all of them, and reserved the amount of water used by the relevant countries as a vested interest before the war, and they should take into account the interests of each other when their agreements are made.

But it did not produce any agreements on the basin's waters between the riparian during the 1990s. There is no doubt; this is related to the political atmosphere in the region. But there has been remarkable developments since the year of 2000 to 2010. The relatively good relationships with all neighboring countries in Turkish foreign policy and the region's positive political atmosphere reflect to water policies. In the new millennium, the cooperation experienced a new impetus resulting in several memorandums, joint communiques and other agreements (Kirshner and Tiroch, 2012: 373) overcoming water issues. Turkey concluded bilateral memorandum of understanding which provide for the establishment of a comprehensive joint database on water data, (Bremer, 2013: 170) with both riparian. These arrangements concentrates on establishing institutional mechanisms that promote democratic

dialogue and negotiations, however are bilateral. Integrated managing of the Euphrates and Tigris Basin requires participation and cooperation from all riparian involved in the process.

As it is seen that there is still no tripartite agreement on allocation of waters of the basin among the riparian. Basically, these legal and institutional arrangements meet all the needs of the riparian. However, due to the short and/or long term effects of changing environmental conditions and the growing number of people living in the region, and the creating high pressure of these on the region countries, inability to turning to the tripartite agreement can lead to some disputes and the basin countries are facing serious problems concerning their water policies at times. Whereas opportunities for cooperation and coordination on the basin level can be created. In this regard there is a need for legislations based on integrated and sustainable management of the basin in this region. The Three-Staged Plan for Optimum, Equitable and Reasonable Utilization of Transboundary Watercourses of the Tigris – Euphrates Basin with Syria and Iraq, can be a step which would lay the foundation for a strong agreement. This plan is to provide equitable and reasonable utilization of water of the said basin for the people of the three riparian, and in this way, the riparian can unite to solve challenging water issues.

### **Turkey's policy for the utilization of the waters of the Euphrates and Tigris Basin, the Three-Staged Plan, and cooperation**

In the Middle East, the addressing and minimizing any conflicts or tension are required for the countries to allocate the transboundary waters to collaborate towards the development of common projects for joint management, for identification of real water needs over the entire watersheds, and for effective use of water. In this regard particularly Turkey has developed a plan which is noteworthy about use of the water of the Euphrates and Tigris Basin: The Three-Staged Plan for Optimum, Equitable and Reasonable Utilization of Transboundary Watercourses of the Tigris-Euphrates Basin. Through the proposed plan to develop common scientific and technology-based strategies for the riparian, Turkey aims to bring peace to the

region and presents its opinions and attitudes on this issue in a judicious way. Also, the plan provides changes in quantity and quality of water resources in the basin can be continuously monitored.

As a strong step towards a triple agreement, the Three-Staged Plan bases on two main principles. The Euphrates and Tigris Rivers constitute firstly a single transboundary watercourses system because of these rivers are discharged to the Gulf as a single river, after joining at the Shatt al-Arab, and also have been artificially joined through the Tharthar Canal in Iraq; that is, some Iraqi land irrigated from the Euphrates River can concurrently be irrigated with water from the Tigris River. Secondly, the three riparian need to a process of encouraging and enabling collaboration on preparing and assessing a common inventory of water and land resources in the basin. Because, the methods of collecting and analyzing data vary considerably and a unified method will have to be applied when working on a transboundary watercourse. (Türkiye Cumhuriyeti Dışişleri Bakanlığı, 29.01.2015)

Establishing on a needs-based approach, the aim of the plan is to access a common goal as a result of all comparisons to optimum, equitable and reasonable utilization of water of the Euphrates and Tigris Basin, and proposes a three-staged process for its implementation. Accordingly, the first stage towards resolutions should start with developing good relations and professional contact among the hydrologists from the riparian countries. Thus, the inventory proceedings about water resources would be determining the total water potential – including evaporation, temperature, and rainfall levels – of the Euphrates and Tigris Basin. According to this, inventory studies of water resources would cover these activities: The exchange of all available data (levels and discharges) of the selected gauging stations (Turkey's Belkizkoy Cizre; Syria's Kadahiya and Abu Kemal; Iraq's Husabia Fishkabour and Nasiriya Mosul, Kut); the checking of data mentioned; if necessary, the joint measurement of the discharges at the mentioned stations in different seasons; the evaluation and correction of the measurements; the

exchange and checking of data about the quality of water; and finally, the calculation of natural flows at various stations after the estimation of water uses and water losses at various sites (Center for Strategic Research, 29.01.2015). The second stage, the inventory proceedings about irrigable lands, is to determine the irrigation water needed in Turkey, Iraq and Syria. Inventory studies of their land resources would encompass these activities: The exchange of information concerning soil classification methods and drainage criteria practiced in each country; the checking of soil conditions for projects that are planned, under construction or in operation; if the studies indicated under item it could not be carried out for reasons accepted to all sides, the soil categories shall be determined to the extent possible; the study and discussion of the crop pattern determined according to soil classification and drainage conditions for projects planned, under construction and in operation; the calculation of irrigation and leaching water requirements based on studies carried out in the above mentioned items for the projects planned, under construction and in operation (Center for Strategic Research, 29.01.2015). The third stage is finally to allocate equitably the calculated amount of water according to the determined needs. This would include the following activities: The discussion and determination of irrigation type and system for the planned projects so as to minimize water losses and to investigate the possibility of modernization and rehabilitation of the projects in operation; the determination of total water consumption for all projects in each country, including municipal and industrial water supply, evaporation losses from reservoirs and the conveyance losses from irrigation schemes, based on the project-wide studies; the setting up of a simulation model to analyze the water demand and supply balance, considering the water transfer opportunity from Tigris to Euphrates; the discussion of methods and criteria for determining the economic viability of the planned projects (Center for Strategic Research, 29.01.2015). In a brief, the plan essentially recommends the distribution of water in accordance with the needs of each riparian, and their technological cooperation, in an equitable, reasonable and optimum manner.

As a result of these stages, optimum, equitable and reasonable utilization of water of the Euphrates and Tigris Basin will be enabled. However, first of all, it is necessary that Euphrates and Tigris watersheds should be regarded as a single water basin and also, to ensure for all three countries to use this water judiciously, it must be establish the common scientific and technical committees that will employ scientific methods to provide the most appropriate solutions for the single basin.

In 1984 the Three-Staged Plan was offered by Turkey for the ultimate development of Euphrates and Tigris Basin in an equitable and reasonable context, has not been accepted by the other riparian. However, the plan would provide a holistic and integrated approach to the planning and management of basin, and to its sustainable development. If accepting and receiving positively by Iraq and Syria, the concrete steps will be taken by them in order to use these waters for the maximum possible benefits of their peoples.

### **Conclusion**

The Euphrates and Tigris Basin, consists of its two primary rivers, makes up a vantage ground on national and regional security, and provides to act as great regional powers to the riparian, Turkey, Syria and Iraq, in the Middle East. Being aware of the importance of water in their politics, other regional countries form as a high policy in their politics. However, Turkey, the upstream country in the basin, has made major efforts based on good neighborhood relations so far, and also bears no political intention to act on a political or military basis against them. As a result of these efforts, the Three-Staged Plan proposed by Turkey, can create an opportunity for Syria and Iraq, the downstream countries. If they are looked on the plan with favour, concrete steps will be taken by the three countries for the benefit of their peoples. Therefore, the mutual good will is very important for water cooperation and diplomacy. This plan would be beneficial in terms of providing clear and accurate information, reducing conflicts and tensions, and improving communication on water between riparian countries.

Through the Three-Staged Plan to be realized with the cooperation of the three riparian, the people of the region will use their resources for own interests. Moreover, it will greatly contribute to ensure peace in the region. Turkey is always ready for close cooperation with the countries of the region on the use of Euphrates and Tigris rivers, and it is determined not to take side in potential case of conflicts arising on the basin. But also, the plan is necessary for achieving sustainable development of the basin. Also, having established its strategy and policy in order to protect and improve water resources, Turkey should always keep being a dominant powers who are not on that region but they have relations with the countries there and are interested in the region, in mind. To have water resources on the Middle East is important for both riparian there and other countries because to maintaining them stands for a political and economic tool. That reality is considered be lied behind revived water war scenarios aimed at the region. However, if the problem wanted to be solved and a permanent peace is maintained, a regional cooperation policy and strategy are needed and strategy are needed and that policy will lessen the interference of these dominant powers with the issue.

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**LETTER OF CREDIT OPERATIONS ISSUES (AT THE LEVEL OF COMPANIES)  
AND SOLUTION RECOMMENDATIONS**

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**Abstract**

By nature of international trade, long distance commercial transactions bring the lack of trust between parties to light. Risk fact concerning both parties underlies the lack of trust encountered at this point. In order to make up this deficiency, form of payment by letter of credit having the characteristics of a legal contract has come out to enable the necessary payment to be made full and complete and to receive the relevant goods on time and in good condition. Payments are intensively made by means of letter of credit in international trade in our country and other countries.

We can explain why letter of credit is preferred that much with the following reasons;

- There are one or more banks assuming the role of warrantor for the duration of the commercial transaction,
- Letter of credit has the characteristics in legal terms and it is a valid document with regard to giving the parties credit where it is due,
- Although it is not very clear and precise, it is a form of payment enabling the risks to be spread to both parties equally or nearly equal.

We justifiably expect the margin of error and inaccuracy of a transaction that is used that much to be too little. However, this expectation hasn't been created entirely in the market. It is observed that this form of payment which is preferred that much poses many inconveniences even while issuing letter of credits. These inconveniences arise from

complex nature of letter of credits to large extent. But, the personnel carrying out these transactions, too, are first-degree liable for occurrence of these inconveniences.

Right at this point, we are looking for answers to the question of what are the problems experienced in the transactions of letter of credits and what recommendations for solution can be which also constitute the main subject of our study. In the first section of our study, we will endeavor to describe the forms of payments in international commercial transactions briefly; in the second section the letter of credit, in particular, and its procedure exhaustively, and in the final section the problems we encounter at the level of companies in transactions of letter of credit and means of solution.

*Keywords:* international trade, forms of payment, letter of credit, the problems encountered, the concept of discrepancy

**LETTER OF CREDIT OPERATIONS ISSUES (AT THE LEVEL OF COMPANIES)  
AND SOLUTION RECOMMENDATIONS**

There is no other way for companies but to adjust themselves to international trade under the ever changing and developing market conditions. This case has gone beyond a wish and became necessity.

However, we know that international foreign trade transactions bring with it various problems and require finding solutions. As in every commercial activity, international trade is also based on trust and the requirement for an importer to receive goods and for an exporter to make payment. Parties want an added value and ultimately “gain” in foreign trade as the case with every commercial activity.

The concern regarding gain and delivery of goods is caused by the fact that parties don't know each other and they operate in distant countries. In other words, the concerns with respect to failing to establish the underlying feeling of trust exactly will certainly occur. Just at this point, the practice of letter of credit comes up. Although it has deficiencies and shortcomings, this form of payment is the most reliable and preferred among the current forms of payment.

We can briefly explain this form of payment as establishing a more corporate and effective procedure by involvement of the banks by the parties into their transactions. Banks assume the role of warrantor in payments also depending on issuance of letter of credit. Whether the documents are whole and complete are tracked by banks. Besides, letter of credit is also a form of payment with high preferability for its being accepted in international arena and having the characteristics of a formal contract.

By no means we cannot make an inference that letter of credit can only be used in foreign trade. Letter of credit can be requested and used by the companies operating within the same country border and even within the same provincial border. Still, whether it is used

for the commercial transactions inland or abroad, companies and banks must abide by the rules of letter of credit. These rules appear as the brochure “Sample Rules for Transaction with Letter of Credit” issued by International Chamber of Commerce (ICC).

Nonetheless, as we try to explain, letter of credit is a professional transaction and requires specialty. From this aspect, various inconveniences and deficiencies are encountered diversely. In the final section of our study, extensive knowledge is provided on these problems and solutions in consequence of our interviews with companies.

Besides, we endeavor to describe the forms of payment in general, and then we thoroughly put emphasis on letter of credit.

## **FORMS OF PAYMENT UTILIZED ON FOREIGN TRADE TRANSACTIONS**

### **Forms of Payment**

One of the most important matters for both parties in international trade is determination of the form of payment. Which form of payment shall be used is determined by the customs established in the sector, degree of trust between buyer and seller, policies implemented in countries and solvency of companies.<sup>179</sup>

The form of payment in foreign trade transactions is a particular concern for parties in exporter position. Because, final outcome is to make profit in international foreign trade transactions as is in every foreign trade transaction. The form of payment is, of course, a particular concern for importing party, as well. Because, he is needs to prepare his finance conditions according to the form of payment. Thus, problems that may interrupt the commercial transaction can be overcome.

The most important point on this matter is trust. The safest form of payment for a party turns out to be the most risky method for the other party. In this case, parties should

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<sup>179</sup> Arif Şahin, İGEME, Mart 2002, <http://www.igeme.org.tr>, (12 Nisan 2005), s.4.

determine which position they want to take during agreement, even prior to the procedure of agreement, then they should make a choice accordingly and ensure mutual covenant.<sup>180</sup>

### **Down Payment and General Characteristics**

This form of payment is the most advantageous and risk-free form of payment for exporters. Because the exporter is paid for the goods as soon as he delivers them in this form of payment. Therefore, all risks regarding collection of the cost are eliminated. Down payment is the most advantageous form of payment of exporter, while it is the most risky method for importer.<sup>3</sup>

Exporters are highly likely to encounter the said form of payment under monopoly or near-monopoly market conditions. Because, exporter is not worried with regards to sale of goods. In this transaction, down payment can be made through bank transfer as well as reliable cheques with short term. At this point, too, principles of exporter are important. Some exporting companies may not even accept reliable cheques with short-term.

However, under market conditions where competition is gradually increasing and becoming more established, a company shouldn't be too strict about down payment although it is monopoly or near monopoly and it should make things easier for the counterparty as necessary.

The form of down payment can be seen in cases where parties know each other very well. Because, cost of the goods under the contract is paid to the exporter sooner than the goods are received. The buyer has full faith in the seller and funds the seller before the exportation.<sup>181</sup>

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<sup>180</sup> SITPRO (Simplifying International Trade), SITPRO Guides Financial "Methods of Payment in International Trade", 2007, www.sitpro.org.uk (Ekim 2007), s.2.

<sup>181</sup> Mehmet Melemen ve Burak Arzova, **Uluslararası Ticaret Alternatif Finansman Teknikleri ve Muhasebeleştirilmesi, Ticari Yazışma Örnekleri**, İstanbul, Türkmen Kitabevi, 2000, s.113

If cost of the goods is insignificant, again parties may agree upon down payment as the form of payment. On the other hand, in cases where importer finds the cost of the goods he considers buying at a level he wishes, he might accept the option of down payment. However, reliability of the exporter company must be sought in such cases, as well.

Normally, the buyer cannot be asked to make down payment and it constitutes a small part of the forms of payment in international trade.<sup>182</sup>

Exporter company might be inexperienced in international trade. In this case, too, importer may accept the request of the exporter for down payment. Inexperience of one of the parties in determination of the form of payment may provide an advantage for the other party to make the other party accept the form of payment he wishes.

### **Cash Against Delivery (Open Account) and General Characteristics**

It is an opposite form of down payment method. Exporter delivers goods to importer, importer receives the goods and remits the cost in the establishment terms.

This form of payment is the most risky for exporter and the most preferred for importer. In exportations to be made for the first time, that is, where the trust relationship hasn't been established, it may be risky. In the event that importer accepts the draft drawn up by the exporter instead of making down payment, this method is called cash against delivery With Acceptance Credit. This payment method is a form of cash against delivery to protect the exporter against current risks.

In this form of payment, we can assume that trust of the parties in each other has been formed exactly. Because, all the export documents is delivered to the importer along with the goods or in advance. A malevolent buyer may receive all the goods without paying the

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<sup>182</sup> Edward G. Hinkelman, *Uluslararası Ödemeler, Akreditifler, Vesaik Karşılığı Tahsilatlar ve Siber*

*Ödemeler*, Berk Kaplaner (çev.), İstanbul: Kontent Kitap, 2002, s.20.

cost with these documents. There is no impediment against this case. Because, customs authorities make transactions only on the documents. They are not concerned with the present payment status.

As it is understood, this form of payment is the one in which exporter fully assumes the risk. Exporter doesn't have to make any payment in the event that there is no contract to bind the parties. Exporter may not receive the goods in the customs and withdraw the order with some excuses as well as not making the payment.

In the event that a company and a new product trying to break into the market, exporter may accept this form of payment. However, it doesn't mean that this acceptance will go on in later transactions, as well.

### **Documents Against Payment and General Characteristics**

The fact that exporter bears considerably high risk in the form of cash against goods may bring to mind the use of documents against payment.<sup>5</sup> In this form of payment, the fact that banks are also involved in the transaction ensure more guarantee in terms of use of this form of payment. In this case, the need for banking in the country where a commercial transaction shall be made to be at a certain level becomes a current issue. It is one of the most encountered forms of payment in practice.

After he has loaded the goods under the contract, he gives the shipping documents to his bank to deliver them to the buyer and it is seen that they have been delivered with other documents or against payment in the term agreed by the parties. Then, the bank of the exporter delivers the received documents to the importer's bank (issuing bank).<sup>183</sup>

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<sup>183</sup> M. Şeref Akkaş, **Dış Ticarete Ödeme Şekilleri-Dışbank Eğitim Yayınları**, Ak basım, Mayıs 1988,s.73

International Chamber of Commerce (ICC) collected the rules relating to documents against payment under the name “Uniform Rules for Collection” No.522. These rules, unless the parties have agreed on otherwise, are binding on the parties when it comes to documents against payment. If the parties mutually agree that these rules shall not be valid, the brochure no.522 shall not apply when a problem comes out. <sup>184</sup>

### **Acceptance Credit and General Characteristics**

The form of acceptance credit is actually based on the fact that the forms of documents against payment, cash on delivery and acceptance credit have fixed terms and exporter delivers a policy (draft) for the importer to sign together with the exporting documents, that is, he binds him to a draft for the receivables. <sup>185</sup> In other words, this form of payment means a form of sale by deed in the market which gains international status. Generally it comes up upon request by the buyer, that is, it is not a form of payment that the seller leans towards. <sup>186</sup>

The buyer has the possession of the goods after accepting the draft and then makes payment on due date of the draft. Banks play an important role in this form of payment. If the draft is accepted by a bank, it also becomes indebted.

If a draft issued by the seller is accepted only by the buyer, then there is “*trade acceptance*”. A draft may be stipulated to be accepted by a bank. In this case, bank accepts the draft or signs a surety for acceptance by the importer. This is called “**banker’s acceptance**”. In this form of payment, exporter guarantees himself against an importer

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<sup>184</sup> Ümit Ataman ve Haluk Sümer, **Dış Ticaret İşlemleri ve Muhasebesi**, 8.Baskı, İstanbul, Türkmen, 2003, s.31.

<sup>185</sup> Dölek, s.39.

<sup>186</sup> Melemen,a.g.e.,s.320

wishing to make purchase buying by means of the acceptance of the draft or signing of a surety for it by the bank.<sup>187</sup>

1) The buyer and the seller undertake in the contract concluded between them that payment shall be made by means of acceptance of a time draft.

2) The seller dispatches the goods and delivers the export documents and the issued draft to the buyer's banks by means of his bank.

3) The buyer must receive these documents and accept the draft. After the buyer has accepted this draft, other documents, too, are delivered to him.

4) The draft accepted by the buyer is again delivered to the exporter through banks.

5) The exporter receiving the draft waits until due date of the draft or gets the sale value before the due date by discounting the draft.

## **PAYMENT BY LETTER OF CREDIT**

### **Definition of Letter of Credit and Its Importance**

This form of payment is the most guaranteed form of payment for both importer and exporter. Letter of credit is issued upon instruction by the importer. The Importer's Bank (Issuing Bank) undertakes to the exporter that it shall pay the goods value to the exporter and it shall accept and purchase the draft issued by the exporter against the documents to be drawn up by the exporter within a certain term and under the conditions stipulated by the importer and following fulfilment of the conditions by the exporter.<sup>188</sup>

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<sup>187</sup> Reha Poroy ve Hamdi Yasaman, **Ticari İşletme Hukuku**, 10.Bası, İstanbul, Vedat Kitapçılık, 2004, s.165.

<sup>188</sup> Erdoğan Pekcan ve Erol Üçdal, **Bankalarda Dış Ticaret İşlemleri ve Uluslararası Kurallar**, İ.Ü. Yayın No: 3679, Yükseköğretim Yayın No:2, İstanbul, 1992, s.19.

In letter of credit, payment commitment made by the bank to the seller is contingent, because liability of the bank is borne in the event that the seller presents the documents conforming with the conditions of letter of credit.<sup>189</sup>

Bank is the factor enabling both parties to do business safely in the system of payment by letter of credit. While bank plays a role of mediator between the parties in a transaction of letter of credit, it also guarantees that payment shall be made to the exporter on behalf of the importer in the event of fulfilment of the conditions of letter of credit. This is why the bank reviews all the documents before making payment and checks if the conditions of letter of credit is fulfilled.

In a trade to be made in consequence of the contract concluded by the parties, both parties wish to protect themselves against current risks. While the importer want the ordered goods within the term, in quality and with the properties he wishes, the exporter wants to make sure that he shall be paid for the amount following shipment of the goods and to be paid for the cost upon acceptance of the goods by the importer. In general, parties don't know each other very well in international trade and this cause them to encounter risks. Right at this point; letter of credit comes up as a system protecting the interests of the buyer and the seller.

In international trade, the fact that parties have limited knowledge about each other is a significant factor in the trust between them. In the ever developing and changing economic environment, private entrepreneurs as well as countries has begun to carry out various activities in international market. Yet, some problems and risks has begun to arise such as distinctive rules of every country, legal structures, import and export prohibitions, whether the parties will be able to fulfil their liabilities arising from the contract concluded

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<sup>189</sup> Fatma Ceyda Çiray, **Akreditifte Bankaların Hukuki Bakımdan Sorumlulukları**, Doktora Tezi, İstanbul, 2009, s.7.

by them. Thus, letter of credit has come to be used in international trade to minimize or eliminate the risks of both parties as a safe instrument of payment.<sup>190</sup>

### **Functioning of Letter of Credit**

Functioning of the form of payment with letter of credit are set out below and takes places as follows:

- 1) Parties draw up an contract between them and determine the form of payment to be letter of credit. While this contract can be an agreement to be signed by and between the importer and exporter, proforma invoices can also be a means of contract. If there is only a contract, all details set out in the proforma invoice must also be specified in the contract.<sup>191</sup>
- 2) In consequence of the contract, the importer make an application to his (issuing) bank to issue a letter of credit on behalf of the exporter (beneficiary).
- 3) After the letter of credit has been issued, the importer's bank (issuing bank) notifies to the bank of the exporter in his country (corresponding bank) that the letter of credit is issued.
- 4) The exporter's bank reviews the file of letter of credit and notifies the exporter that the letter of credit is issued.
- 5) The exporter delivers the contract goods to the importer within the specified period. In the meantime, he delivers all the documents related to the goods to his bank and request for payment of the cost to him.
- 6) Exporter's bank (Corresponding Bank) reviews if th documents delivered to it complies with the conditions of letter of credit and attaches the letter of remittance to the documents and send it to the exporter's bank (Issuing Bank).
- 7) Issuing Bank reviews the documents and notifies the exporter.
- 8) The goods value and charges are paid to the bank, and the documents are delivered to the importer.

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<sup>190</sup> Arslan Kaya, **Belgeli Akreditifte Lehtarın Hukuki Durumu**, 1.Bası, İstanbul, Beta, 1995, s.12.

<sup>191</sup> Bölükbaşı, s.28

- 9) The importer clears the goods from customs upon receiving the necessary documents.

### **Types of Letter of Credit**

#### **Letters of Credit In Terms of Issuing**

**Irrevocable Letters of Credit.** The clause with code 40 A in the letter of credit indicates whether the letter of credit is revocable or irrevocable in terms of its issuance.

If the related clause **40A: Form of Documentary Credit:** If it is irrevocable, type of the letter of credit is irrevocable letter of credit. In other words, the issuing bank cannot revoke the letter of credit without obtaining approval of the beneficiary and all other parties, if any. The importer may revoke the letter of credit with approval of, in particular, the beneficiary and all other parties.

If the letter of credit is irrevocable in the period between 31 C, the date of first issue, and 31 D, the maturity date, then the issuing bank cannot revoke the letter of credit by itself. Under these conditions, the importer cannot revoke the letter of credit without approval of the beneficiary even when the importer finds new opportunities (finding a supplier with cheaper prices). He cannot be released from paying the cost, because he cannot revoke the letter of credit.

**Revocable Letter of Credit.** This type of letter of credit grants the issuing bank a disproportionate right, so it is rarely seen in practice. The issuing bank can gratuitously terminate the letter of credit at any time within the term, that is during the period between 31 C and 31 D and it is relieved from paying the value.

The most important reason for issuing a revocable letter of credit is to prevent use of the letter of credit if any amendment is made or it is revoked at the last moment.<sup>192</sup>

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<sup>192</sup> Bölükbaşı, s.45

According to the brochure No: 600 of ICC, letters of credit are assumed as irrevocable letter of credit unless otherwise stated. Therefore, revocable type of letter of credit isn't regulated in this brochure.<sup>193</sup>

### **Letters of Credit In Terms of Liability to Pay**

**With Confirmation / Confirmed.** In the text of the letter of credit, the clause code 49 indicates whether the liability to pay in the letter of credit is confirmed or unconfirmed letter of credit.

If the relevant clause **49: Confirmation Instructions: Confirmed**, then it indicates that the beneficiary bank is included in the scope of payment guarantee as well as the issuing bank upon request by the beneficiary. In other words, the beneficiary bank, too, undertakes the payment guarantee which is the primary duty of the issuing bank. While it this can be the issuing bank upon request and approval of the beneficiary, it can also be any confirming bank. In this case, the documents to be presented by the exporter to the beneficiary bank after the loading shall also be presented by the beneficiary bank to the confirming bank to review the said documents.

That the letter of credit is with confirmation shall be stated in the relevant clause (49);

We can understand it from such statements as Confirmed, With Confirmation, May Add Confirmation.

The statement Confirmed to be stated in Clause 49 by the issuing bank while issuing the letter of credit doesn't make the letter of credit confirmed alone in terms of liability to pay. In addition to this transaction, there is no confirmation in the letter of credit unless the beneficiary bank notify the beneficiary in writing that it has confirmed the letter of credit.

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<sup>193</sup> Melemen, s.287

**Unconfirmed, No Confirmation or Without) Letter of Credit.** In this type of letter of credit, the beneficiary bank shall not assume any liability to pay to the beneficiary. In other words, liability to pay shall be solely incumbent upon the issuing bank in this transaction. The beneficiary bank doesn't give any payment guarantee, so it cannot check the documents exactly and strictly; consequently, all possible discrepancy fees shall be incumbent upon the beneficiary.

### **Letters of Credit In Terms of Intended Use**

#### **Transferable (L/C) Letter of Credit**

It is a letter of credit issued by the exporter for a third party or to to be able to transfer it to another country.<sup>194</sup>

If the beneficiary of the letter of credit shall be manufacturer or supplier of the goods subject to the letter of credit, then the beneficiary shall specify the company which makes production or supply to him as the transferee of the letter of credit.

In this case, the first beneficiary shall only enable the letter of credit to be issued; production and loading shall be carried out by the transferee of the letter of credit, that is, the second company.

The exporter is in intermediary position selling the goods purchased from the manufacturer to the importer to supply the goods requested by the importer and he transfers the letter of credit issued by the importer and gets his share.<sup>195</sup>

All transactions regarding trade relation shall be made by the transferee company. However, the export documents drawn up are delivered to the first beneficiary to which the letter of credit is issued and he initiates the procedure by delivering them to his bank.

In such letters of credit, transfer can be made only once. In other words, transferee of the letter of credit cannot transfer it to another company.

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<sup>194</sup> A. Sait Yüksel ve Diğerleri, **Bankacılık Hukuku ve İşletmesi**, 10.Baskı, İstanbul, 2004, s.408.

<sup>195</sup> Doğan, s.63

Transferee of the letter of credit may be not only the companies operating inland, but those operating abroad.

### **Back to Back L/C**

Back to back letter of credit is a special letter of credit. In such letter of credit, there is two different and independent letters of credit available contrary to other letters of credit. A company sells a goods purchased in a country to any company in another country. In other words, he carries out transit trade. As in the transferable letter of credit handled under the previous titles, there is an intermediary in such letter of credit. However, as we stated, the only difference of such letter of credit is that there are more than one letters of credit.

Upon request by the beneficiary, the bank issuing a back to back letter of credit based on the guarantee for letter of credit for export makes a commitment to pay to the notifying and confirming bank for this letter of credit. Therefore, the banks acceptance of the request for issuing a back to back letter of credit is principally depends on confirmation of the letter of credit for export.

The exporter (beneficiary) becoming the issuer of the letter of credit for import is obliged to make the payments under the letter of credit for import whether any payment is made to him as beneficiary of th letter of credit for export. In the event that the exporter fails to draw up the documents required in the first letter of credit for any reason, no collection shall be made under the letter of credit for export; on the other hand, payment of the fee charged in the letter of credit shall become inevitable.

### **Discrepancy Concept in Transactions with Letter of Credit**

In the most general sense, discrepancy can be explained as failure by the beneficiary (exporter) to comply with the conditions of letter of credit agreed upon. Discrepancy by an exporter is a common situation, but the bank may accept the discrepancy and issue a payment order to the issuing bank if there isn't any significant error in the text of the letter of credit.

However, if there is a case that may cause the importer to suffer in the text of the letter of credit or if the importer is malignant although there isn't any serious error, then no payment shall be made to the exporter. In this case, the exporter has to sell the goods or products to another customer or to return them to his country. Therefore, considering in terms of the exporter, the letter of credit is the least risky form of payment, while it is a form of payment that must be paid attention sensitively during preparation of the documents. Otherwise, letter of credit becomes the most risky form of payment for the exporter.

The most important point is that the exporter must pay attention not to be in discrepancy. Importer is never in discrepancy, because the importer is the party issuing the letter of credit. Exporter is the party who must fulfil the conditions of letter of credit, so always exporter is in discrepancy.

Banks review the documents in 4 ways, that is, there can be 4 kinds of DISCREPANCY.<sup>196</sup>

**1. Numerical Precision:** Documents must be delivered in requested numbers. If the exporter delivers 2 invoices where 3 invoices are requested, he is in discrepancy.

**2. Rules (Conditions):** Discrepancy of the exporter in cases where the exporter may fail to comply with the conditions of letter of credit. For example; the goods that must have been loaded on August 30 may be postponed to September 1. In this case, the exporter is in discrepancy. If the importer doesn't accept the discrepancy the exporter has to withdraw the goods or sell them to another customer. He cannot claim any payment or right legally. If the importer accepts the discrepancy, then the bank pays the money.

**3. Consistency:** The documents must be consistent with each other. For instance, in the event that amount of net/gross kilogram in shipping documents are not same as kilogram amount in the packaging list, the exporter is in Discrepancy. Or, company name may be

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<sup>196</sup> Mücahid Karabalık, Dış Ticarete Uygulamalı Akreditif, Eğitim Notları, 2011

written wrong. Name of the Issuer which must be “BAKIR Tekstil” is written as “BATIR Tekstil”. In this case, the importer cannot clear the goods from customs with this document.

**4. UCP 600 Compliance:** The documents must comply with the uniform rules (UCP 600 rules).

The matter of discrepancy is very important; moreover, it is the crucial point of letter of credit. There are many discrepancy cases suffered by exporter. The exporter may be in discrepancy even due to a mistake by the importer. For example; The issuing party, that is importer, may write the word “cotton” in English as “coton” in the letter of credit. The exporter must comply with the conditions of the letter of credit while delivering these goods, therefore he has to write whatever he sees in the letter of credit. If the exporter writes the correct form of this word as “cotton”, he becomes discrepant. To avoid a formal error, the exporter must write the word he finds incorrect as is. No correction must be made in any way. Here “copy-paste” must be applied.

The most important point in discrepancy is that the importer can expand the discrepancy period at his choice. There is no definite time stipulated by law for this. Even if the importer accepts the discrepancy, he may extend the discrepancy time to make payment late.

**Discrepancy Fee:** A fee is collected for every discrepancy. This fee is not specified by the importer, but the Issuing Banks generally takes advantage of it and adds a clause while drawing up the text of letter of credit and states that it shall charge a certain fee in the event of discrepancy. If the discrepancy is not accepted by the importer, the bank cannot get anything; however, if the discrepancy is accepted and the importer makes payment, the has a right to deduct this amount for every discrepancy. In this case, a settlement with the bank can be sought, but this settlement must be made while issuing the letter of credit. Otherwise, the bank writes this statement down in the letter of credit and collects it. This charge doesn't

cause any loss for the important, but some exporters may press the importer in order not to pay this charge. In this case, the exporter may try to bargain with his bank.

It must be noted that, Issuing Bank has right to write anything in the text of letter of credit for its being warrantor. In this case, the letter of credit issued by the bank must be thoroughly examined by the importer, and unnecessary clauses to interrupt trade must be excluded.

## **THE PROBLEMS ENCOUNTERED AT COMPANY LEVEL AND SOLUTION SUGGESTIONS IN THE FORM OF PAYMENT BY LETTER OF CREDIT<sup>197</sup>**

### **Purpose and Scope of the Study**

The importing and exporting companies we take into consideration until this point are highly likely to encounter the transaction of letter of credit. Because its discussion in the study, we endeavor to describe the potential problems that are encountered or may be encountered by companies while issuing a letter of credit or during the procedure of letter of credit and the suggestions to overcome these problems.

Letter of credit is a complex system by nature and requires expertise. These transactions must continue quickly and waste of time must be prevented as much as possible in order to avoid interruption in commercial activities.

Rapid development of technological age and the fact that technology is now used more create the need for revising letter of credit when the time comes. Maybe the paper works taking a long time in transactions of letter of credit will be only carried out in software environment in the forthcoming periods. By this way, letter of credit, too, somehow will have to comply with the technology.

This study is carried out with the purpose of putting forward the problems that may be encountered by both issuing company and beneficiary company in the payment by letter

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<sup>197</sup> Related research is presented by Gencay Karakaya ( who is a research assistant of Faculty of International Trade-Istanbul Commerce University) as a master thesis

of credit and the possible solution suggestions. Therefore, the companies operating in Turkey are interviewed in this study.

### **Data Collection Method Used In The Study**

The study is carried out on eight companies making import/export transactions. These companies are selected by use of convenience sampling method. Availability is the primary motive for selection of companies. The interviews are conducted with the companies operating in Istanbul Dudullu Organized Industrial Zone. These companies are engaged in such activities as plastic injection, steel construction, textile, heavy metalworking, machinery parts, plastic auto parts, metal dyeing and hardware works. All the companies carry out foreign trade operations in both buyer and seller position.

Face to face interview is preferred as a data collection technique in our study. Our interview forms are presented to the persons in charge of import/export transactions of the companies and they are requested to fill in them. Answers of every company directors are evaluated.

### **Research findings**

The answers obtained in consequence of the interviews being the data collection method are given below.

**Question – What are the problems you encounter in transactions of letter of credit and the solutions for them? (Explanation)**

- ❖ We experienced the problem of late presentation of the documents in a letter of credit in which we are in exporter position. In other words, we couldn't deliver the documents requested by the importer to clear the goods on time. This time is maximum 21 days according to UCP. However, the importing company treated us quite strict on this matter and stated that they want the documents within 14 days at the latest. We accepted this period in order not to lose this company which we do business for the first time. However, the fact

that the countries are distant and review of the documents by banks takes a long time and courier's delivery time prevented us from presenting the documents within 14 days and therefore the issuing bank deemed us in discrepancy. The importing company didn't accept the discrepancy for its strict treatment on this matter. We fully assumed this fee because of not having an understanding with the issuer on covering the discrepancy fees.

**Solution:** On this matter, the importer should take into consideration the complex structure of transactions of letter of credit and be more flexible. Otherwise, this will constantly cause discrepancy. The importer should not only think of himself but the exporter. A period to hold both parties harmless should be agreed upon. Besides, there could be relations of letter of credit in which this period is reasonable. Namely, in a process in which parties do mutual business continually, both companies and banks know the procedures and requests of each other, this period can be determined reasonably. If the problem still continues in spite of so many positive reasons, the exporter should check the staff he employs and request for better management of the process.

- ❖ The discrepancy issue which we experience as an importer and mostly confronted by exporters is the matter of over shipment and less shipment. That is, our bank directly impose a discrepancy in the event of violation of a condition on quantity of the goods we specified in a letter of credit. If this deficiency or surplus is at a level not to cause a loss, we continue the transaction by accepting the discrepancy. However, if this fault is at a level that affect us and our trade, then we cannot accept that discrepancy. Because we determine quantity of the goods to be imported by means of various techniques and this quantity help our company to manage until the next import optimally. The quantities below or above this level cause us to encounter such problems as having surplus goods or failing to meet demands.
- ❖ If there is any reduction by wastage in the goods manufactured by exporting company upon our order, and these goods are specially designed for us, we cannot sell these goods to

another company. In this case, it may reach the conclusion that there is no problem with over shipment and makes an over shipment. In this case, if we don't accept the discrepancy, the exporter will have to bear the discrepancy fee. On the contrary, the exporter shall make less shipment in the event of surplus and the discrepancy will come out again.

**Solution 1-** The fact that our bank recourse to us in consequence of detection of a discrepancy is a part of the process. Here, we can see which goods are overloaded and which are under loaded. In this case, if there is a recoverable deficiency or surplus, we can accept the discrepancy to avoid interrupting the process and receive our goods on time.

**Solution 2-** Another solution is that we may include the title TOLERANCE as a special condition in letter of credit. A tolerance regarding quantity of the goods can be included in a reasonable percentage (+,-). Thus, the exporter doesn't make a discrepancy in cases where over or less shipment is at reasonable level. However, the exporter must not be allowed to make a habit of it.

- ❖ One of the problems we encounter in our transactions of letter of credit is that exporter doesn't full meet the conditions of the letter of credit. For instance, We request the exporter to specify the unique number in every letter of credit we issue to them in order to prevent confusing the files, goods and documents while we are clearing goods and when we have too much transactions of letter of credit and avoiding the circumstances in which we become suspicious (to try to clear different goods with different documents). This is very important for us in determining to which goods the documents are related. We pay attention to this practice, because it enables the documents to be consistent while we are clearing goods as a company and to prevent potential problems. We are capable of tracing even the payment by means of these numbers. Thus, we are able to track how much is paid for a letter of credit, progress of a process and suchlike cases. This must be done, because we stipulate it as a special condition in the letter of credit. If the exporter doesn't do it, he makes a discrepancy

and we generally don't accept a discrepancy arising for this reason. Because, this cause an intensive waste of working hours for us.

**Solution** – Conditions of the letter of credit must be evaluated by the exporter from the very beginning and he must consult the personnel about feasibility of the said special conditions. If something contrary is stated, he must try to find a common ground with the issuer and his bank. Thus precautions are taken in advance for problems that might arise later. He must ensure that the documents to be delivered to the issuing bank upon loading and shipment of goods are full and complete. The personnel must be informed on the matters that the importer is sensitive and steps must be taken solemnly and carefully.

- ❖ Incomplete or incorrect information on the documents we requested in letter of credit which we encounter personally many times is an example of discrepancy. For instance, the fact that our company (the importer's) name, address or contact information in an invoice are not as specified in the letter of credit is considered as a discrepancy by our bank. We cannot accept this discrepancy, because this problem stirs up troubles for us while clearing the goods. Or, the fact that name or code of the import products are not written in conformance with the letter of credit is also a discrepancy. We tell beneficiaries that even if we specify any information wrong and we haven't realized it until the last moment, write this information in the invoices as is, so you can avoid any discrepancy. For example we write the word "cotton" as "coton" in a letter of credit by mistake as issuer of the letter of credit. If the exporter writes the correct form of this word, that is "cotton", he makes a discrepancy.

**Solution** – Exporter should write the information he sees in the letter of credit as is in all the documents that he issues in the name of the issuer or his bank. Even if the information in the letter of credit is wrong, it must be written as is; otherwise the discrepancy issue comes out. For this, simple but the most effective method is applying "copy-paste" for

the information in the letter of credit. Thus inconsistency of documents can be prevented. Another suggestion is that even synonyms of the goods must not be written.

Our subject of activity is textile, so I think this example is just to the point. While writing the words pullover or cardigan in the documents, taking into consideration what is written in the documents instead of the opinion or the correct form is the simple but most effective way of protecting us against a discrepancy.

- ❖ As you know, mode of delivery is an issue that must be discussed from the very beginning together with the form of payment in international trade. Because every mode of delivery has different cost for us as an issuer of the letter of credit. We generally secure our goods by means of a comprehensive insurance policy covering all our commercial transactions. That is, meet our need for insurance by means of an insurance company. However, the fact that freight costs are covered by exporter means saving of both time and cost for us.(CFR mode of delivery). Because our exporter can provide us with this service with the companies he works with. Of course, he collects the fee of this service from us by including it to the goods value. As a matter of principle, we as a foreign trade department want to see the freight cost apart from the goods value. In other words, we want to evaluate the goods value and freight cost separately. We state this condition under the title of special conditions in letter of credit at the beginning of trade relation. However, some exporting companies make out an invoice by including the freight cost to the goods value without taking account of this condition in spite of all attention. We have experienced this case many times and due to the same beneficiary company. We do not accept the discrepancy arising from this fault which prevents us from tracking the freight cost and goods value and we request for solving this problem.

**Solution** – The beneficiary must consider this matter which we specify as a special condition and thoroughly review the letter of credit. He should review the clauses of the

letter of credit we presented to them and consult his company. In this case, the inconvenience arising from discrepancy during delivery of goods will also cause trouble for them. Transactions of letter of credit are not useful for shipment by airway. Because the goods shipped by airway is delivered to the issuer's (importer's) country within at least 2 days; however, it is highly impossible for the issuing bank to receive and review the documents in time. Therefore, we stipulate an additional special condition for goods shipped by airway in letter of credit. Namely; "Original set of documents must be delivered by courier in the event of shipment by airway." Thus, the documents can reach the bank concurrently with the goods shipped by airway. Nonetheless, in some cases, final decision hasn't been made yet for the documents due to extension of time of review by the bank even though the documents reach the bank. Therefore we are unable to clear the goods and the beneficiary cannot receive payment.

**Solution** – In such case, as a solution, we issue a "general discrepancy" letter in our bank for the companies which we have done business before and haven't experienced a problem, thus we state that we accept all kinds of potential discrepancy. In other words, we give a payment guarantee. We would like to point out again that we do this only for the companies which we have done business before and haven't experienced a problem. We are of the opinion that is not appropriate to make it into a general rule. We train all our personnel in this manner. After all, trust underlies the trade. By this way, we don't need to receive a letter of approval from the bank for clearing the goods from the customs. Because, Stating to the bank that we accept all kinds of discrepancies is a precaution for avoiding interruption in transaction.

- ❖ A problem we encountered in the form of payment by letter of credit is that we didn't object to the text of letter of credit. We drew up the letter of credit containing our conditions and all other information under the commercial transaction and delivered it to the exporter, and

5 working days which is the legal period for objection to the text of letter of credit passed. We didn't receive an answer from the beneficiary or his bank within this period, so we thought that they accepted the letter of credit. However, nearly 10 days passed and we thought manufacturing goods started, and at the moment we thought our documents were drawn up, legal representative of the issuer stated that they shall not accept an additional clause we included in the conditions of the letter of credit and they would like to seek a settlement on this matter. We didn't accept this offer for settlement on the ground that it was a clause that we attach importance as a company policy. We told the counterparty that we considered this clause was accepted and the goods were made ready to deliver due to the fact that no objection was made within the legal period. We stated that they shall deliver incomplete documents if they are insistent on this matter and we cannot accept the discrepancy to arise in this case. Upon understanding our solemnity and importance of the relevant clause, the company officials also fulfilled that condition involuntarily and we were able to receive the goods though delayed.

**Solution-** Parties should know that letter of credit is a contract that is set out in both international law and national law and which has sanctions. For these characteristics, time limits are stipulated for its transaction period. Parties of letter of credit know the legal framework of the transaction very well or employ personnel having qualifications in this respect.

- ❖ Just as the importer in a letter of credit wants to receive the goods on time, the beneficiary, too, wants to receive payment in a timely manner. Therefore, the concept of reimbursement bank has come out in transactions of letter of credit. In a letter of credit which is to be issued with confirmation, both a corresponding line and a credit line must exist between the banks of the issuer and the beneficiary. In the event that there is no line within this scope, a Reimbursement bank is involved as a 3. Bank. Like we said, both a corresponding line and

a credit line must be formed at the same time between the two banks for issuing a letter of credit with confirmation.

- ❖ If the reimbursement bank is only involved in the transaction for corresponding line, it only paid for the SWIFT charge. However, if it is also involved in the transaction for credit line, this charge increases more. Because, the reimbursement bank, too, acts as warrantor after this point. Since, it now stands surety for both banks. Reimbursement charges are incurred by the Exporter. In one of our transaction of letter of credit in which this procedure is exactly experienced, great expense was incurred by the exporter. This credit relationship which he applied without investigation and assessment costed him too much. However, he stated that he doesn't want to pay the whole expense and we are required to share this expense. We didn't assume the expense for this transaction which doesn't contribute us in any way and stated that it is legally at his expense. Because, no clause specifying that we shall share the expenses arising from the reimbursement bank was included while issuing the letter of credit. Therefore, he paid all the expenses without making a claim and we received the goods in time and made the payment for them.
- ❖ Letter of credit is Transferable. It means that the exporter get another company manufactured the goods which he shall export. In this case, letter of credit is transferred to a 3. company and this company becomes the payee. But this transfer can only be made once for a letter of credit. A second transfer is out of the question. We approved the transfer in a payment by letter of credit in which we were the issuer upon request by the exporter. However, we encountered a number of problems for not utilizing this feature of letter of credit. The fact that banks aren't liable for quality in letter of credit and that we didn't send our auditor to check the related goods, the goods were in quality we desired. This case brought costs to us in the domestic market, because we couldn't even sell the goods to the companies that we continuously do business.

**Solution-** We overcame the inconveniences that we have experienced on this matter by means of the special conditions we stipulate in letter of credit in our later transactions. Before issuing a letter of credit, we requested the exporter to provide the information of potential companies to which he shall transfer production of the goods and also requested them not to transfer production and letter of credit to a company apart from those we selected. Thus, our worries with respect to quality of the goods are prevented.

### **CONCLUSIONS AND RECOMMENDATIONS**

International trade has become an ever developing area with its ever-changing trade concept and environment. Therefore, companies must lay great stress on this matter. They should spend working hours for this area.

We know that every development requires change. International Trade with its ever-expanding scope has become more complicated. Mutual demand increases, expectations change and accordingly more disputes arise. We are confronted by this issue in practice though not in theory.

Application of letter of credit in international trade is a consequence of this developing and changing commercial conditions. Maybe, there will be transactions where letter of credit is unable to meet the expectations when the time comes. At that point, existence of need shall direct the people to begin different quests. But, for now, letter of credit is an optimal form of payment for both the importer and the exporter. It is certain that various academic studies have been carried out on an ever-developing transaction with such extensive usage area. However, these studies are evaluated within the academic limits and pulse of the business life hasn't been felt. Just at this point, our study aims to convey the experience in trading area to the academic area.

In the first section of our study, forms of payment are discussed in general; letter of credit which is one of these forms of payment is examined thoroughly. The motives to prefer,

advantages, disadvantages, financial condition are examined individually in terms of both the issuer and the beneficiary. However, contrary to the first two sections where the theory part has taken shape, information obtained from the reviews with companies using letter of credit is given in the final section. By this way, we try to explain present situation of the letter of credit in practice which we have described extensively in the previous section. In this section, we requested the companies making import/export transactions to answer the interview question presented to them.

In the interview, we asked the companies using letter of credit to explain the problems they encounter and to solutions they find to overcome these problems. Thus, we received suggestions to enable letter of credit to function perfectly.

### **SUGGESTIONS**

- Letter of credit has a more complex structure by nature than the customary forms of payment. This structure must be known well and trained personnel should be employed.

- In transactions of letter of credit, parties should establish a mutual negotiation environment from the very beginning in order to make things easier for each other as is in other transactions.

- It must be noted that the banks involved in this process only deal with documents, other issues must settled by the counterparty (quality concern, quantity of goods, type, etc.).

- Internationally accepted legal structure of letter of credit should be thoroughly examined and learned. All current practices must be followed.

- Special conditions, if any, must be evaluated and the counterparty must be notified upon consultation with directors (in order to prevent potential discrepancy).

- Turkish characters must not be used in letter of credit by any means. Letter of credit is prepared by using English characters. On that sense, a personnel who is competent in foreign language must be employed.

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## **CREATIVITY ANALYSIS OF 5-6 YEARS OLD CHILDREN IN PRESCHOOL**

### **EDUCATION: ANKARA, SIVAS AND VAN CASE**

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#### **Abstract**

Creativity has a quite important place in an individual's life. Creative people always will take the initiative in new ideas, thoughts and inventions. This has tremendous importance in the development and progress of the society lived in. That is because; cultural values and accumulations of the society leave an important influence on the creativity of the individual. Since preschool period progresses very fast in developmental terms, it may be stated that culture and environmental conditions have more influence on the creativity of the child. While expressing him/herself; he child in the preschool period uses different ways. We can see the creativity of the child in her/his games, peer relations and drawings. The family, house environment and district the child lives in, economic conditions owned, her/his school and societal structure affect her/his creativity. The family to have different cultural values, a second language to be spoken at home and the child to learn a second language in critical ages affect the child. In this study, whether some variables and environmental differences have influence on the creativity of children living in different cities of Turkey in preschool period was analyzed. In the study, "Torrance Test of Creative Thinking", which was developed by Torrance (1962), was used. Reliability and validity studies of the test were conducted. As a result of the analyses, the scale that was used was seen to be reliable and valid. Ankara, Sivas and Van cities

constitute the sample of the study. 60 students from each city, which form the sample of the study, were selected via purposive sampling. According to Buyukozturk (2012), purposive sampling is a type of sampling, in which rich situations are selected for a specific purpose. At the end of the study, it was observed that children from socioeconomically high families in all cities have higher creativity levels than children from socioeconomically lower families. In the study, also the conclusions that mother's education level is effective on the child's creativity, 6 year old children are more creative than 5 year old children, and that children living in different cities have different levels of creativity were reached. Another finding of the study was that children with no siblings or that have only one sibling are more creative than the ones that have more siblings.

*Keywords:* preschool education, creativity, culture, socioeconomic status.

**CREATIVITY ANALYSIS OF 5-6 YEARS OLD CHILDREN IN PRESCHOOL  
EDUCATION: ANKARA, SIVAS AND VAN CASE**

In the preschool period, an education, which supports all development areas of the child and prepares her/him to life, needs to be given. The child, who receives preschool education imitates life through play and interacts with her/his peers. In preschool education, creativity of the child shows itself in the tasks she/he does and products she/she produces (Ozerbas, 2011). It is foreseen that creative children will have better academic success, use technology better and adapt to changes more easily in the future. Preschool education years are substantially important years for the development of the creativity potential of the child (Lowenfeld & Brittain, 1957). In this period, creative thinking skills of the child should be aimed to improve as well (Nickerson, 1999). In the development of the creativity of the child, the environment and the culture that the child lives in have a significant importance (Tsai, 2012).

Culture has a strong effect in conceptualizing, defining and explaining creativity (Rudowicz, 2003). Creativity and values attributed to creativity may change from culture to culture. Philosophical, religious, historical, political, psychological and sociocultural factors in a society effect creativity and creativity process (Oades-Sese

& Esquivel, 2011). While creativity is given importance in some cultures; it can be prevented in some other cultures because of hierarchical order, strict organizational structure, lack of education, strict commitment to traditions and collectivistic life (Fryer& Fryer-Bolingbroke, 2011; Ozerbas, 2011).

Creativity is a process, which is continually shaped and encouraged by social, cultural and societal factors. (KEA European Affairs, 2009; Fryer & Fryer- Bolingbroke, 2011). In different stages of creativity process, social and psychological factors become effective. Through these social and psychological factors, culture influences creativity process (Chiu & Kwan, 2010). In today, when quick cultural changes occur and different cultures live together,

children should be taught in the education system to respect different cultural values and traditions, and to live in peace with these differences (National Advisory Committee, 1999). For this, in each step of the education curriculum, multiculturalism and individual differences should be given importance (Hammerich, 2014). Lectures, in which different cultures are introduced, should take place in the curriculum. A multicultural program has enormous contribution to the creativity of the child (Dziedziewicz, Gajda & Karwowski, 2014). A curriculum that will develop creative thinking should be a curriculum, which is oriented to make gain critical thinking ability instead of knowledge gain, and oriented to problem solving. This curriculum should enable the child, who is at a very convenient stage for creative thinking, to be open to change, instead of transferring some values and societal norms (Wright, 2010). Children should know that their life styles, beliefs or cultures are not tools of superiority against others. Similarly, children should respect values of different cultures (Robinson, 1999).

Also language development and intelligence improvement of children coming from low educated and socioeconomically bad families are affected negatively (Kagitcibasi, 1996). Children coming from families of different social classes have different levels of creativity. Children, who grow up in a supportive and affectionate environment, are more creative than other children (Hellen, 1999). Moreover, children who are firstborn or grow up in one child families, are more creative compared to other children. The reason for this is can be stated as verbal and emotional communication to these children to be more and their families to have more physical interactions with them (Lasko, 1954). Since the interaction of children, whose intelligence and language development do not develop sufficiently, will be limited; it may be stated that their creativity skills will not develop at a sufficient rate. Therefore, educational background of parents, socioeconomic status of the family and environmental stimuli are factors effective on the creativity of the child.

Before 1960s, the effect of culture on creativity was not known. Creativity was mostly

associated with genetic characteristics. According to J.P. Guilford, his work that was published in 1956 named “Structure of Intellect Model” has been a beneficial study on the topic of intellect to be accepted to be different than creativity. This study formed the premise for Test of Creative Thinking, developed by Torrance. In the studies he conducted, Torrance determined that creativity is recognized, evaluated and stated differently in different cultures (Oades-Sese & Esquivel, 2011). In order to benefit from different cultures and to embody multicultural experiences as creativity objects, interaction with different cultures is not enough; there is need to adapt to different cultures intellectually and behaviorally, and to be open to new ideas (Leung, Maddux, Galinsky & Chiu, 2008).

Can Yasar & Aral, (2010) reached the conclusions that children that receive preschool education have better creative thinking skills than the ones that do not receive preschool education and that sex does not have any effect on creative thinking. In a similar research, Gizir Ergin & Koksal Aydın (2012) revealed that attending to or not to a preschool and mother’s educational background have influence on the creativity of the child, however sex of children or father’s educational background are not effective on the creativity of the child.

In his study, Korom (2005) conducted interviews with parents about the creativity of their children, and they mentioned that parents believe all children are creative and creativity varies from child to child. Nonetheless, families mentioned that they support the creative thinking skills of their children by providing environments with rich stimuli and opportunities.

In his study, Heller (1999) reached the conclusion that there is not a significant relationship between attitudes of families towards their children and the creativity of children receiving preschool education.

In a research conducted by Sarsani (2011), educational background of mothers, professions and socioeconomic status of parents were found to be effective on the creativity of the child. In a similar research, the conclusion that socioeconomic level of families is a

deterministic factor on was reached. Especially, the fact that socioeconomically lower families to have many children, not to sufficiently take care of their children, their oppressive attitudes towards them and not to create environments, which will support developmental areas of them, cause the children to have lower creativity levels than the ones in higher socioeconomic statuses (Lichtenwalner & Maxwell, 1969).

In a study that Oncu (1989) conducted with 150 participants between 7 and 11 ages, he reached the conclusion that boys are more creative than girls. In another study of his, he worked with 120 preschool children who are 6 years old, and he obtained the conclusion that sex factor is not effective on the creativity of (Oncu, 2000).

Although several studies were conducted on creativity in Turkey, there is a limited number of studies about the effect of culture, environment lived and socioeconomic status of the family on the creativity of children. However, our country has been a

permanent residence for many nations, and it houses many cultures. Moreover, some of the cities located in Turkey have been the center of politics, social life and culture in history (Akbulut, 2009). Individuals that have different race, color, language, religion, social life and etc. are raised in our country, since it has a multidimensional culture. Socioeconomic statuses, educational backgrounds and social life styles of these individuals show differences from each other. Within this context, creativity of children living in Ankara, Sivas and Van cities is analyzed from the perspective of family economic level, educational backgrounds, number of siblings, sex and age variables.

## **METHOD**

In this study, quantitative research method was used. Institutions to be worked with were determined using purposive sampling. Sample of the study is formed by 60 children from each city at 30 low and 30 high socioeconomic levels, 180 children in total, who live in Ankara, Sivas and Van cities. These children attend to state preschool institutions.

### **Data Collection Tool**

A form, in which demographic information takes place about the families of the students, was constructed as the data collection tool. Expert opinion was received for the questions of this form. Within the framework of expert opinion, a pretest was conducted for the revised and re-constructed form. As a result of the feedback given, questions were reshaped. Moreover, formal part A form of Torrance Test of Creative Thinking (TTCT) was used. This form consists of three activities named creating an image, completing an image, and parallel lines. In the creating an image part, the child is asked to create a composition by being given a specific colored and shaped paper. In the image completion part, which is constituted by 10 squares in which lines and curves exist, children are asked to complete and name these lines in a way they desire. In the parallel lines, which is the final part and consists of 30 divisions, the child forms and names an image within 10 minutes using each parallel line separately (Oncu, 2000).

### **Reliability and Validity of the Test**

Whether Torrance test of Creative Thinking is reliable and valid or not was applied by Torrance in 1973 to American children. The test was revealed to be reliable and valid as a result of the application (Torrance, 1973).

Aksu used “Image Completion” and “Parallel Lines” parts of the test in 1985, in order to test the creativity of children in Turkey. He reached the conclusion that these parts of the test had high reliability and validity (Aksu, 1985). Moreover, Oncu (1989) used the whole test while analyzing the creativity of primary school children. Together with the scores of these children, interviews were conducted with their teachers towards their creativity. Information gathered from interviews and test scores of children were seen to be compatible at a high rate (Oncu, 1989).

### Application of Data Collection Tools

Data used within the context of the research were collected by researchers from Ankara, Sivas and Van cities. “Torrance Test of Creative Thinking” scale was applied to children one by one by researchers.

### Analysis of Data

In the conducted research, analyses were done by using SPSS 15.0 packaged software. Two-way variance analysis was benefited from in order to determine whether creativity of preschool children vary depending on city and economic level, city and sex, and city and age group. Scheffe test was conducted in case there was difference. Nonetheless, whether creativity of preschool children varies depending on mother’s educational background and number of siblings was examined by one-way variance analysis. Scheffe test was done in case there was difference.

## FINDINGS AND INTERPRETATION

Information belonging to children taking place in the study sample are presented in

Table 1, Table 2, Table 3 and Table 4.

**Table 1. Sex of children participated in study**

Sex	f	%
Female	90	50
Male	90	50
<b>Total</b>	180	100

Table 3. Number of participant children		siblings of	
	f	%	
Numberof siblings			
No sibling	36	20,0	
1	84	46,7	
2	31	17,2	
3	13	7,20	
4 or more siblings	16	8,90	

Total	180	100
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**Table 2. Cities the participant children live in**

City	f	%
Ankara	60	33,3
Sivas	60	33,3
Van	60	33,3
<b>Total</b>	180	100

**Table 4. Age of participant children**

Age	f	%
5	65	36,1
6	115	63,9
<b>Total</b>	180	100

As we analyze Table 1 and 2, it is seen that 90 female and 90 male children, and 60 children each from Ankara, Sivas and Van were worked with. According to Table 3 and 4, most of the children have one sibling (%46.7) and are 6 years old.

Demographic information of participant children’s mothers are presented in the tables below.

Age	f	%
20-29	34	18,9
30-39	134	74,4
40-over	12	6,70
Total	180	100

Educational background	f	%
Illiterate	21	11,7
Primary school	28	15,6
Secondary school	41	22,8
Highschool	39	21,7
Universty	51	28,3
Total	180	100

**Table 7. Mothers’ Employment Status**

Employment Status	f	%
Unemployed	110	61,1
Employment	70	38,9

In Tables 5, 6 and 7, information belonging to the mothers of participant children were given. 74.4% of mothers are between 30-39 ages, 61.1% do not work, that is housewife, and 28.3% are college graduates.

Demographical information belonging to the fathers of children are shown in below tables.

**Table 8. Age of Fathers**

Age	f	%
20-29	4	2,20
30-39	136	75,6
40-over	40	22,2
Total	180	100

**Table 9. Employment Status of Fathers**

Employment status	f	%
Unemployed	6	3,30
Employed	74	96,7
Total	180	100

**Table 10. Educational background of fathers**

<b>Educational background</b>	<b>f</b>	<b>%</b>
<b>Illiterate</b>	5	2,80
<b>Primary school</b>	23	12,8
<b>Secondary school</b>	24	13,3
<b>Highschool</b>	57	31,7
<b>Universty</b>	71	39,4
<b>Total</b>	180	100

As we analyze Tables 8 and 9, it is seen that 75.6% of fathers are between 30-39 ages and are employed (96.7%). As we examine the table oriented to educational background of fathers (Table 10), number of fathers that are university or highschool graduates are more than the ones that are illiterate, primary school and secondary school graduates.

Information oriented to monthly income and socioeconomic levels of families of children are given in Table 11 and Table 12.

**Table 11. Monthly income of families**

Monthly income (lira)	f	%
1000-2000	52	28,9
2001-3000	32	17,8
3001-4000	12	6,70
4001-5000	41	22,8
5001-over	43	23,9
Total	180	100

**Table 12. Socioeconomic levels of families**

Socioeconomic level	f	%
Lower	90	50
Upper	90	50
Total	180	100

According to Table 11, families were revealed to have monthly incomes of 1000-2000 liras the most (28.9%), 5001-and over the second (23.9%) and 4001-5000 the third (22.8%). While families with no income/specific employment, and underqualified/unqualified and working physically are determined as lower socioeconomic level; executives, administrative Works, clerks and tradesmen were determined as upper socioeconomic level. Participants were analyzed by being separated into two groups according to these levels. As we analyze Table 12 in accordance with this analysis, half of the families of the participant children have lower, half of them have upper socioeconomic levels.

Two-way variance analysis results of the creativity of participant preschool period children, according to cities and economic level are given in Table 13.

**Table 13: Two-way variance analysis results of the creativity of participant preschool period children, according to cities and economic level**

Variance resource	Sum of squares	Df	Quadratic mean	F	p
City	315,79	2	157,89	30,69	0,00*
Socioeconomic level	396,35	1	396,35	77,04	0,00*
City*Socioeconomic level	18,45	2	9,22	1,79	0,17
Error	895,21	74	5,14		
Total	16117,73	80			

\*p<0,01

When the analysis results were examined, it is seen that creativity of preschool period children differ significantly according to cities ( $F^{(2-174)} = 30.69$ ;  $p < 0.01$ ). In other words, creativity of preschool period children varies significantly according to cities.

As the groups, in which difference exists according to cities, are checked, it was determined that children living in Ankara ( $\bar{X} = 10.41$ ) and Sivas ( $\bar{X} = 9.28$ ) have higher creativity than the ones living in Van ( $\bar{X} = 7.22$ ). This finding shows that cities are important factors on the creativity of preschool period children.

It was found that creativity of preschool period children differ significantly according to socioeconomic level ( $F^{(2-174)} = 77.04$ ;  $p < 0.01$ ). Creativity of children participating in the study that have high socioeconomic level are higher ( $\bar{X} = 10.46$ ) than children that have low socioeconomic level ( $\bar{X} = 7.48$ ). This finding shows that socioeconomic level is an important factor on the creativity of preschool period children.

The common effect of city and socioeconomic level on the creativity of preschool period children was not found to be significant ( $F^{(2-174)}$ ;  $p>0.01$ ). In other words, it is seen that creativity of children that have high socioeconomic level does not differ significantly according to cities; and creativity of children living in Ankara, Sivas and Van does not differ significantly according to socioeconomic level.

Two-way variance analysis results of the creativity of participant preschool period children, according to cities and sex are given in Table 14.

**Table 14: Two-way variance analysis results of the creativity of participant preschool period children, according to cities and se**

Variance resource	Sum squares	f	Sd	Quadratic mean	F	p
City	315,79		2	157,89	25,93	0,00*
Sex	59,74		1	59,74	9,81	0,00*
City*sex	190,56		2	95,28	15,64	0,00*
Error	1059,70		174	6,09		
Total	16117,73		180			

\* $p<0.01$

As Table 2 is examined, it is seen that creativity of preschool period children differ significantly according to cities ( $F^{(2-174)} = 25.93$ ;  $p<0.01$ ). In other words, creativity of preschool period children changes significantly according to cities.

It was found that creativity of preschool period children differ significantly according to sex ( $F^{(2-174)} = 9.81$ ;  $p<0.01$ ). Creativity of female participant children ( $\bar{X} = 9.55$ ) is higher than the creativity of male participant children ( $\bar{X} = 8.40$ ). This finding demonstrates that sex is an important factor on the creativity of preschool period children.

The common effect of city and sex on the creativity of preschool period children was found to be significant ( $F^{(2-174)}$ ;  $p < 0.01$ ). In other words, creativity of female and male children is seen to differ significantly according to cities; and creativity of children living in Ankara, Sivas and Van is seen to differ significantly according to sex. Scheffe test was conducted, in order to see on which difference between mean scores of binary sub-groups the so-called differentiation is depended on. According to results of multiple comparison, it was determined that the creativity of female children studying in Ankara ( $\bar{X} = 11,92$ ) is higher than the male children studying in the same place ( $\bar{X} = 8,20$ ), and female and male children studying in Van ( $\bar{X} = 6,36$ ,  $\bar{X} = 8,08$ ) respectively; and creativity of male children studying in Ankara ( $\bar{X} = 8,91$ ) is higher than female children studying in Van ( $\bar{X} = 6,36$ ); and creativity of female children studying in Sivas ( $\bar{X} = 10,36$ ) is higher than female ( $\bar{X} = 6,36$ ) and male ( $\bar{X} = 8,08$ ) children studying in Van.

Two-way variance analysis results of the creativity of participant preschool period children, according to cities and ages are given in Table 15.

**Table 15: Two-way variance analysis results of the creativity of participant preschool period children, according to cities and ages**

Variance resource	Sum of squares	Sd	Quadratic mean	F	p
City	290,38	2	145,19	19,98	0,00*
Age group	4,48	1	4,48	0,62	0,43
City*age group	43,56	2	21,78	3,00	0,05
Error	1264,71	174	7,27		
Total	16117,73	180			

\*p<0.01

As Table 3 is analyzed, it is seen that creativity of preschool period children differ significantly according to cities ( $F^{(2-174)} = 19.98$ ;  $p < 0.01$ ). It was found that creativity of preschool period children does not differ significantly according to age group ( $F^{(2-174)} = 0.62$ ;  $p > 0.01$ ). This finding shows that age group is not an important factor in the creativity of preschool period children. The common effect of city and sex was not found to have a significant effect on the creativity of preschool period children ( $F^{(2-174)} = 3.00$ ;  $p > 0.01$ ). In other words, it is seen that the creativity of 5 years old and 6 years old children does not significantly differ according to cities; and creativity of children studying in Ankara, Sivas and Van does not significantly differ according to age group.

One-way variance analysis results of the creativity of participant preschool period children, according to mother's educational background are given in Table 16

**Table 16: One-way variance analysis results of the creativity of participant preschool period children, according to mother's educational background**

Variance resource	Sum of squares	Sd	Quadratic mean		p
Between group	428,96	4	107,24	5,68	0,00*
Within group	1196,84	175	6,84		
Total	1625,80	179			

\*p<0.01

Analysis results show that there is a significant difference between the creativity of preschool period children, according to mother's educational background ( $F^{(4-179)} = 15.68$ ;

$p < 0.01$ ). In other words, creativity of preschool period children changes significantly according to mother's educational background. According to Scheffe test results done in order to find in which groups the difference is; it was determined that children from mothers, who are secondary school ( $\bar{X} = 8,58$ ), highschool ( $\bar{X} = 9,39$ ) and university graduates ( $\bar{X} = 10,92$ ), have higher creativity than the ones whose mothers are illiterate ( $\bar{X} = 6,21$ ), and children from mothers, who are university graduates ( $\bar{X} = 10,92$ ) have higher creativity than children from mothers, who are primary school ( $\bar{X} = 7,49$ ) and secondary school ( $\bar{X} = 8,58$ ) graduates.

One-way variance analysis results of the creativity of participant preschool period children, according to number of siblings are given in Table 17.

**Table 17: One-way variance analysis results of the creativity of participant preschool period children, according to number of siblings**

Variance resource	Sum of squares	Sd	Quadratic mean	F	p
Between groups	206,17	4	51,54	6,35	0,00*
Within groups	1419,63	175	8,11		
Total	1625,80	179			

\* $p < 0.01$

When Table 5 is examined, it is seen that there is a significant difference between the creativity of preschool period children, according to number of siblings ( $F^{(4-179)} = 6.35$ ;  $p < 0.01$ ). According to Scheffe test results done in order to find in which groups the difference is, it was determined that the creativity of children that have none ( $\bar{X} = 9,95$ ) and 1 sibling ( $\bar{X} = 9,43$ ) are higher than the ones that have 4 and more siblings ( $\bar{X} = 6,07$ ).

### Discussion, Conclusion, and Recommendations

In general, according to the result obtained from data, the conclusion that children

with high socioeconomic levels and have mothers with high educational background are more creative, regardless of cities they live in. This situation can be explained by the fact that the family with high socioeconomic level to be more conscious about education and to prepare a convenient, rich stimulating environment, since economic conditions are well. Moreover, the conclusion that children of mothers, who have high educational background, are more creative than children of mothers, who have low educational background, was obtained. In a research they conducted, Ergen and Akyol (2012) reached the desition that as the educational level of mother increases, creativity of the child increases. The facts that mothers do generally take care of the child more than the father, to have social and emotional interaction with the child more than the father, to participate in the activities of the child might cause the educational background of the mother to affect the creativity of the child positively. Besides, as the educational background of the mother increases, she supports the development of the child more and provides a qualified environment with rich stimuli.

When viewed on the basis of cities, the conclusion that the creativity of children living in Ankara and Sivas, in which economic wealth and education level are higher, is higher than the creativity of the children living in Van. In a research that Chakroun & Safieh (2012) conducted, they reached the conclusion that cultural factors, especially psychological, economic and social factors have influence on the creative thinking skills of children in preschool education period. When it is considered that social, psychological and economic statuses of children living in different areas will be different as well, the fact that cultural differences will be influential on the creativity of the child has appeared also in the conclusion of our study. When sex of children was considered, it was seen that female

children are more creative than male children. In a research that Gonen, Uzmen, Akcin and Ozdemir (1993) conducted, they obtained the same results. However, although girls produced more flexible and more original products in the studies, a significant difference between the creativity of girls and boys was not found. When the creativity of preschool period children is checked according to their ages, the result that there is not a significant difference between the creativity of 6 years old children and 5 years old children is achieved. Cognitive development of children at this age group to be similar, to receive education in co-ed classes and to be exposed to same stimulant environment might be effective on them to have similar creativity characteristics. The conclusion that children with none or one sibling have better creative thinking skills than the ones with four or more siblings was reached. A similar study was done by Lichtenwalner & Maxwell (1969), and according to this study in case of being the firstborn or the only child of the family, the creative thinking ability of the child is much better than the other children born later. Here, the facts that the family to put on excessive emphasis on the firstborn child, to give great importance to education because she/he is the first child and in case of being the only child, the interest to be focused totally on this child might be effective on the results.

Below recommendations may be offered as a result of the research;

- ✓ In early childhood education programs, applications that will lead children to creativity should be made.
- ✓ Creativity training should be given to preschool education teachers.
- ✓ In order for the creativity of children to increase; trips to museums, art expositions and galleries, and bookstores should be arranged.
- ✓ Applied classroom studies and family participation should be assured by

preparing creative training programs with preschool teachers, oriented to families, especially mothers.

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**ANALYSIS OF THE EPIC “KANLI KOCA OĞLU KAN TURALI” IN THE  
LIGHT OF SIGNS**

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**Abstract**

The Book of Dede Korkut, which comprises twelve legends, has been the subject of countless studies due to being the masterpiece of Turkish culture and having an important place among narrative-based studies in Turkish Literature. Whether oral or written, searching Dede Korkut Tales, which has literary characteristics, by a variety of methods, is the sign of how deep meanings that these stories have. Kanlı Koca Oğlu Kan Turalı, one of the epic stories of Oghuz Tales, which has two manuscript copies, one in Dresden and the other in Vatican, will be managed to analyze using Semiology Method, which was proposed by Saussure, developed by Hjelmslev and formed as a theory by Greimas. The main aim of this study is to outline the application of Greimas’s Actantial<sup>198</sup> Model, exploring how semiological analysis can be applied to literary text.

*Keywords:* Dede Korkut, semiology.

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<sup>198</sup> The term “actant” was first used by French linguist Tesnière (Yücel, 1999; 101).

## **ANALYSIS OF THE EPIC “KANLI KOCA OĞLU KAN TURALI” IN THE LIGHT OF SIGNS**

Signs, “which are the major elements of communication process, are defined as an object, quality, event or entity, whose presence indicates the probable occurrence of something else”<sup>199</sup>. This comprehending style, which we use for the things we perceive and realizing and interpreting the truth behind appearance, has turned into a scientific branch called Semiotic or Semiology, which investigates these factors systematically. When the historical period is considered, it can be seen that the development milestones have involved some stages. Furthermore, it has been revealed by the sources that this finding has developed and become widespread with Roman Jakobson and Troubetzkoy, founding member of Prague Linguistic Circle, spreading of Saussure’s researches, Hjelmslev’s (Copenhagen Linguistic Circle) systemization on methods, Benveniste’s application to discourse, Barthes’s adaptation the language as understandable as possible and Greimas’ view point for it as a theory and method (Kıran, 1990; 51). The Epic of “Kanlı Koca Oğlu Kan Turalı”<sup>200</sup>, which we will try to analyze according to the theory that Greimas developed, is an Oghuz story which takes place in sixth series in Dede Korkut Tales as stated in Dresden manuscript. The original name of this valuable work is “Kitab-ı Dede Korkut Ala Lisan-ı Taife-i Oğuzhan” (book of Dede Korkut written by Oghuz clans). Two manuscripts of these stories, which are the most remarkable Works of Legendary Narration Type, are accessible right now. First of these, is the full manuscript copy with twelve stories found in Library Dresden, which dates back 150 year ago. Second is the incomplete copy with

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<sup>199</sup> Otto F. Best (1984), *Handbuch literarischer Fachbegriffe*, Fischer Handbücher, Frankfurt am Main, s.580. Albert Busch; Oliver Stenschke (2008), *Germanistische Linguistik*, Gunter Narr Verlag, Tübingen, s.18.

<sup>200</sup> First, Kilisli Rifat issued the book (1916) based on a copy of Dresden manuscript with Arabic Alphabet in Turkey. Later, Orhan Şaik Gökyay (1938) printed the book with a new alphabet. The final form of the book was designed by Prof. Dr. Muharrem Ergin (Kabaklı, 1994, s.202)

six stories, found in Vatican Library in 1950. Six stories in Vatican manuscript are the same as the six stories in Dresden manuscript. However, several differences can be seen in words and sentences. Nearly all researches and studies about Dede Korkut have been made with regard to Dresden manuscript since it is an old and full copy. The first remarkable research was made by H.F.Vön Diez (1811-1815) and W.Barthold (1894) after Flischer who found this manuscript. (Özbay,Karakuş Tayşi, 2011; 25). In this study, we focus on making an analysis by taking into consideration Muharrem Ergin's<sup>201</sup> work, who has important studies and conducted researches based on transcription of Dede Korkut in Turkey and try to deal with the transcription of the story as a text instead of translation.

### **Importance of Research**

When looked at literature review, it can be seen that there have been studies on the Epic of Kanlı Koca Oğlu Kan Turalı, whereas studies on semiological analysis are still lacking. Within the scope of this, it is pointed out that different perspectives might be cultivated to reader utilizing from semiologic vehicles.

### **Method**

We will try to shape our study according to semiologic theory based on Paris Semiology School<sup>202</sup>, which Algirdas-Julien Greimas headed.

### **Semiotic Analysis of Epic**

Since semiology is the study of all terms and concepts that are in the field of meaning, “everything which has meaning is considered as an investigation field based on

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<sup>201</sup> For more details, see Muharrem Ergin (2009), “Dede Korkut Kitabı 1”, Türk Dil Kurumu Yayınları, Ankara, s. 13-14.

<sup>202</sup> See Mehmet Rıfat (2013), Göstergibilimin ABC'si, Say Yayınları, İstanbul, s.115. Hilmi Uçan (2003), Edebiyat Bilimi ve Eleştirisi, Hece Yayınları, İstanbul, s. 29.

semiology”<sup>203</sup> such as languages used for communication, behaviors, images, traffic signs, musical notes, painting, theatre play, advertising poster, deaf and dumb alphabet, film and literary Works. Semiology has been attempted to develop in terms of this research field. This scientific branch mainly aims to comprehend the connections and functions as a whole and is named with different disciplines such as “literary semiotics, theatre semiotics, visual semiotics”<sup>204</sup> and etc...Semiology has concerned with literary texts since earlier years due to carrying the opportunity to reflect common values and factors and presenting the utterance<sup>205</sup> and enunciation<sup>206</sup> concepts in texts concretely (Kıran, 2010; 8). The most remarkable starting point of these literary texts are “signs”<sup>207</sup>. These signs have three important features (Fiske, 1982; 43).

- a) Sign is formed by human and signified by the users.
- b) Codes and systems are classified and signified by signs.
- c) Codes and systems are signified and classified by the culture in which they originate.

Semiology is not only a method, which focuses on the signs in text form but also analyzes the meaning of the text in deep structure, defining structural relations through discourse particles in story line considering the surface structure of text, since it is accepted that the main concern of literary “semiology is analyzing and signifying a narration and

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<sup>203</sup> Tahsin Yücel (2001), Genel Göstergebilim, Göstergebilim Tartışmaları, Multilingual, İstanbul, s.10.

<sup>204</sup> Ibid. 10.

<sup>205</sup> Utterance is a statement produced by a speaker oral and written. It is defined as “söz bakımından” in Turkish Dictionary (Türkçe Sözlük, 2011; 2155 ).

<sup>206</sup> The term “enunciation” is act of producing “utterance”; presenting the utterances in a specific context and situation (Vardar, 1988; 189).

<sup>207</sup> A term (thing) used for stating something; signal, indication (Türkçe Sözlük, 2011; 973).

revealing the aspect which provides being narration” (Günay, 2000: 39). Thereby, Greimas defines semiology as “a meaning investigation”<sup>208</sup> (1970; 10).

Further information to express the structures in our analysis according to Greimas; as Mehmet Rıfat (1999; 162) assumed in his work ““Gösterge Eleştirisi (Criticism for Semiology)”; “For semiological analysis of narration, it is firstly required to divide the narration into sections”. Dividing into section means assigning the sections into reading units.

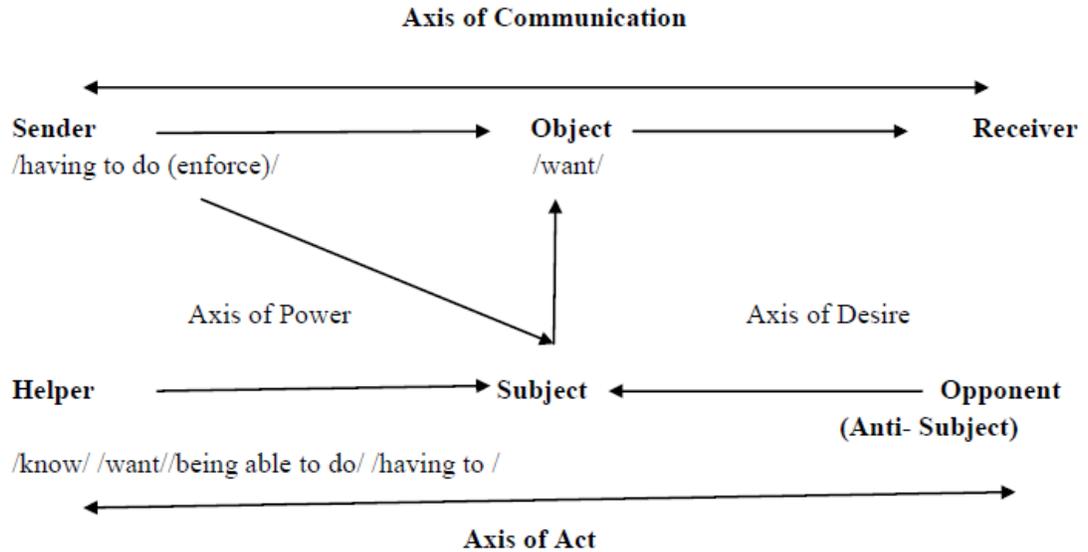
### **Sectionalization of Epic (Narrative Level)**

According to Actant Model in semiologic theory, which A.J.Greimas developed, actants are the units of narrative level. Actants are defined thanks to their relations with other actants. It is required a beginning situation with conclusion situation and a subject which turn the main transition between the two situation, revealing the act utterance in order to create a narrative level (A. J. Greimas, 1983; 49). More precisely, the narrative level can be resolved depending on the actions of the people and the basic narrative of the person as the subject is determined. The actantial model allows us to break an action down into six facets, or actants:“ Subject, object, sender, receiver, helper and opponent” (Kıran,

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<sup>208</sup> Refers three main structures in analysis process. They are correlation of levels, narrative theme or schema and semiotic square. For more details, see Zeynel Kıran, Ayşe (Eziler) Kıran (2002; 291). Mehmet Rıfat puts forward the idea that a literary text has three main dimensions in terms of semiology: 1- Surface dimension 2- Syntactic narrative dimension 3- Main semantic dimension (deep structure) (Erkman-Akerson, 2005; 146). Öztokat (2004; 152). Semiotic analysis which follows an incrementally process (narrative text, a visual image, painting, film, poster...etc) by representing the principle that all discourses consists of two major structure and stating that they are investigated in terms of surface structure. Analysis of main semiotic elements in deep structure, in terms of considering the determined relations by including the descriptive –narrative dimensions and surface structure of text dimension. Narrative dimension and discourse and thematic phases of text are investigated in surface structure whereas isotopies , are stated with the repetition of main semiotic categories which forms the surface structure of text in deep structure, are portrayed. Günay (2007;190) determines that narrative analysis develops as an investigation form with three stages which are discourse level, narrative level and thematic level in literary semiotics that are investigated which are defined as fictional structures.

2003; 124). The conceptual network of A. J. Greimas<sup>209</sup> is generally depicted as a diagram, given in formats like the following<sup>210</sup>:



As shown in the figure, a relation between sender and receiver is presented within the axis of communication whereas subject-object relations occur as an optional process.

<sup>209</sup> For more details, see (Er, 2001; 112). Greimas Actantial Model is based on three major meaning axis with six actants which are sited on bilateral opponents. Three major meaning axis of the characters in this structure are:  
 a- Subject/object pair (axis of desire): The subject is directed toward an object and tries to act on it. Axis is the main concept which determines the direction of act and has varieties of obstructions to overcome. Object is the thing which the sender conducts or lacks.

b- Sender/Receiver pair (axis of transmission): Concept of transmission and conduction are occurred in this ground. Function of sender is to conduct something to receiver or determine the receiver's needs.

c- Helper/Opposing pair (axis of power(conflict)): Helper and opponent character or object take place in order to acquire the object. This function is an opponent pair, makes the communication easy or confronts and presents the requirements.

<sup>210</sup> See (Greimas, 1966; 172-191), (Öztoğat, 2005; 73), (Kıran-Kıran, 2007; 148-170).

On the other hand, the relation between helper and opponent can be defined in terms of power. Particularly, when looked at the concepts, the terms subject and object cannot be perceived as grammatical process. Subject is the term which participates the important events whereas object is the main goal of the heroine.

According to the propositions within plot in narrative level, this story is divided into five sections.

**A. Section 1: Introduction (Kanlı Koca's Desire About His Son's Marriage)**

The first section outlines the preparatory stage of the story. In this part, the first initials of the story appear in terms of space and time. Thereby, it is aimed to make a beginning process in development phase and next phases. A general narrative theme is given in introduction part of the story: "Kanlı Koca tells his son he wants the lad to marry". In this part, Kanlı Koca has the sender role (Subject<sub>3</sub>=S<sub>3</sub>). Kan Turalı is required to perform a specific theme (Subject<sub>1</sub>=S<sub>1</sub>). When looked at the story in terms of syntactic and logical aspect, Subject<sub>3</sub> (Kanlı Koca= Father), puts in motion Subject<sub>1</sub>'i (Kan Turalı), for the continuity of generation. That is to say, the relation draws an attention between Kanlı Koca (father), in affecting Subject<sub>3</sub> position and Kan Turalı, in affected Subject<sub>1</sub> position. Indeed, S<sub>1</sub>, accepts the desire of S<sub>3</sub> without objection, due to the fact that the concept of marriage is the most significant event that takes place between birth and death and is acceptable state for the continuity of generation. Thus, S<sub>3</sub> and S<sub>1</sub>, (as a plan) decided to find a brave girl (shown as Subject<sub>2</sub>=S<sub>2</sub>) in Oghuz Land.

Based on these explanations, we can shape section 1, as follow from the figure below:

SENDER	SUBJECT	OBJECT	RECEIVER
S <sub>3</sub>	S <sub>1</sub>	(desire of marriage)	S <sub>2</sub>

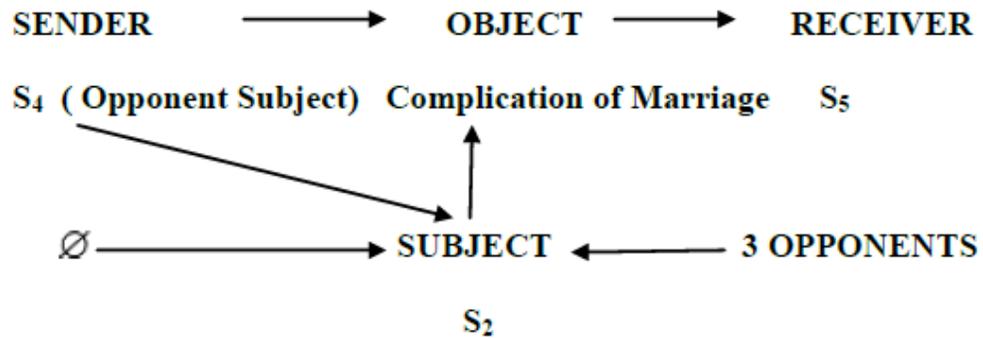
Process of event is affected by narration theme in a specific sequence at the end of first section

**B. Section 2: Finding the girl for marriage (Transition the planning phase into reality)**

Section 2, begins with the participation of S<sub>2</sub> (with the name of Selcen Hatun) to story by transition to reality. A new subject (S<sub>4</sub>) participates to this part. Appearing of “Trabzon Tekürü<sup>211</sup>” and S<sub>4</sub>, who is in the role of girl’s father, it can be seen remarkable changes in narrative theme. S<sub>4</sub> aims to complicate this marriage by making variety of plans with “3 Opponents (khan lion, black bull, and black camel)”. Previously, 32 son of blasphemous, who wanted to get marry the girl, (S<sub>5</sub>) died. In fact, in this section, S<sub>4</sub> is an opponent subject (considering the event on the aspect of his daughter and Kanlı Koca), when the actants in this section are placed according to S<sub>4</sub>, an actant schema might occur as shown below:

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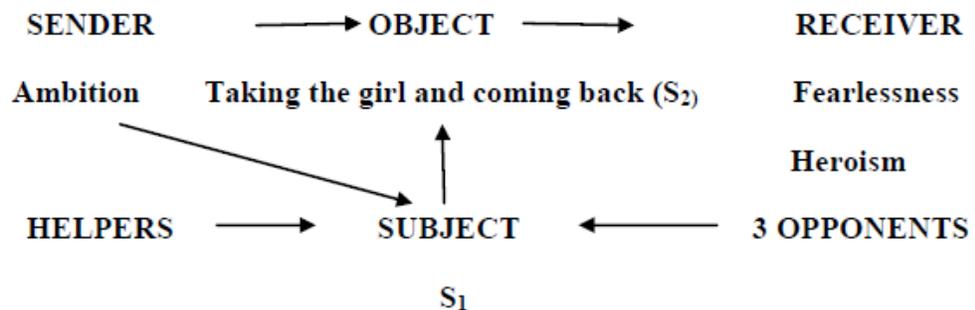
<sup>211</sup> “Tekür” (Armenian): “Kig of a Christian city” (Tezcan, 2001; 419).



As mentioned earlier, Greimas' actants are performed by subjects and it is possible that one actant is performed by several subjects as one subject performs more than one actants (Greimas, 1983; 49, 1979; 161). In this section, it appears that S<sub>4</sub> (sender, opponent subject) performs more than one actants.

### C. Section 3: Transition to Act

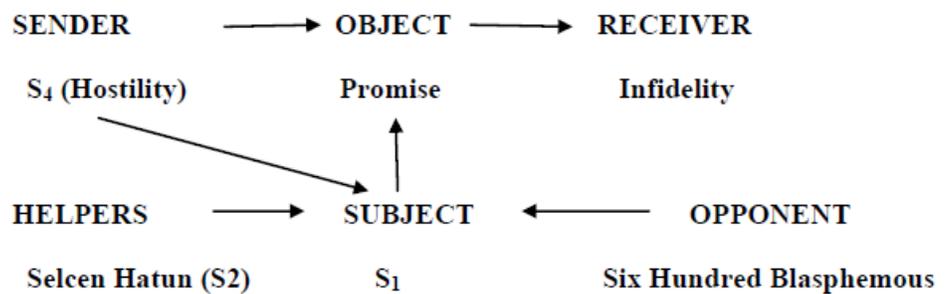
This section outlines the events which developed in narration and the process of transition to act. In spite of the unwillingness of S<sub>3</sub>, S<sub>1</sub> ( Kan Turalı = lad-boy ) acts and takes forty helpers with him (shown as helpers). S<sub>1</sub> leaves for return with S<sub>2</sub> (the girl), killing three opponents which S<sub>4</sub> (girl's father) stipulated. Action schema that designed according to S<sub>1</sub> can be shown as;



S<sub>1</sub> performed a remarkable fearlessness and bravery at the end of Section 3.

**D. Section: Infidelity of S<sub>4</sub> (while returning to Oghuz Land<sup>212</sup>)**

S<sub>4</sub> reveals his infidelity clearly by sending six hundred blasphemous, which are defined as opponent accants in narration theme, in order to follow S<sub>1</sub> (Kan Turalı) and S<sub>2</sub> (Daughter= Selcen Hatun). However, S<sub>2</sub>, didn't hesitate to present her loyalty by helping to him (S<sub>1</sub>). The actant schema of this section might be presented as shown below;

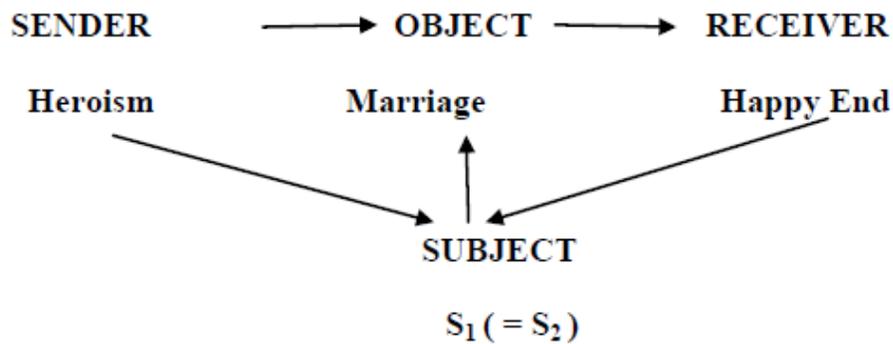


Since heroism epic of Oghuz Turks are mentioned in Dede Korkut Tales, in this part, the experience of this situation which takes place in a time and space section, presents the whole which shapes with occuring a transition to a time and space section Thereby, a complicated structure cannot be seen in this narration, since the daily events were told with simple and short sentences in Dede Korkut Tales and the language (Turkish) has been kept simple and clear.

<sup>212</sup> Oghuz Land(first place of epic) is in Central Asia. Hence, epics consist historical prints belongs to areas from Sir-Derya to Mangışlak between X-XI. centuries. Another settling area of epic is North Anatolia, Azerbaijan, the Caucasus (Boratav, 1958;114-130).

**E. Section 5: Happy End and Returning Home**

In this section, which is resulted favorably, the events lasted and desire of marriage to a brave girl and main narration theme in first section comes true. Actant schema of last section is presented in figure below:

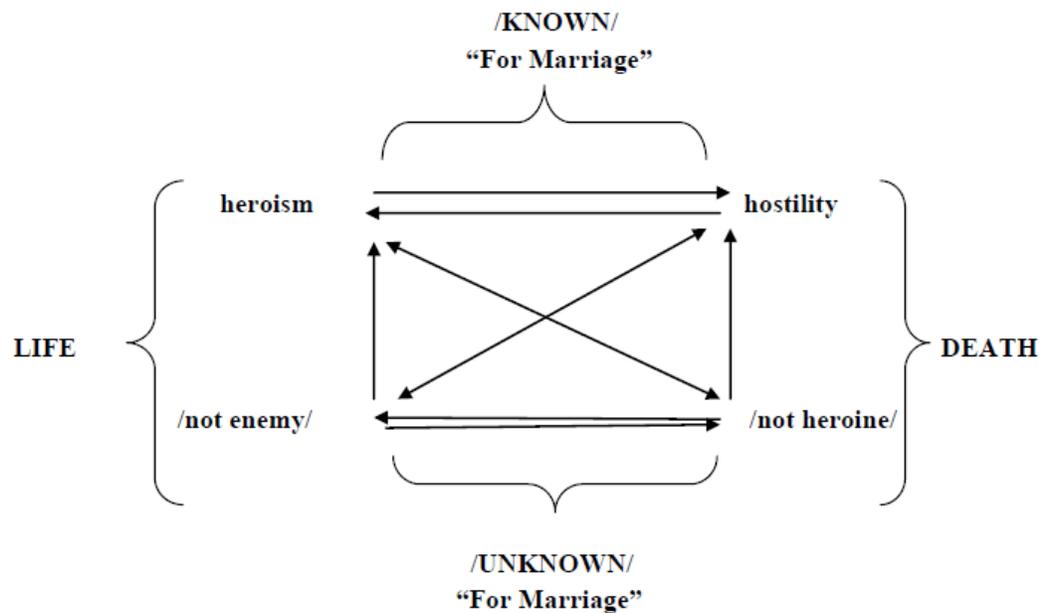


Narrative theme has lasted thanks to heroism. Anyway, Dede Korkut Tales has common features in terms of fiction. Heroine faces some challenges and unfairness and tries to cope with these challenges at the end of each text. Heroines face some dangers in the middle of the text. This danger is generally blasphemous. Heroine gets in trouble (...) and heroines rise all challenges and difficulties (Üstünova, 2008; 139). Heroines in stories have abilities to battle with an army on their own. In our story,  $S_1$  killed the monsters which nobody could venture to conquer since he has these abilities. Not only the concept of heroism, but also the concept of happy end has the common features of these stories. In Dede Korkut Tales, achievements of heroines are verified with happy end.

**Main Transitions of Story (Narrative Level)**

In previous phase, actants in narration have been tried to determine by dividing into sections. Thereby, structure of narration restructured in respect to semiological point of

view. It is necessary to analyze semantic-logical structure within deep structure after determinations in surface structure of narration. Units in deep structure state the semantic field which cannot be seen clearly in utterance, whereas units in surface structure can be observed easily in narration. From Tahsin Yücel's point of view is that: "In order to have access the meaning of the whole, it might be lack to distinguish its semantic elements into specific units since objects are defined with their specific features and these features can be conceived with the differences and the similarities among the features of other objects." It might be necessary to reveal the formation which was presented by units and the structure that is composed from mutual correlations. (Yücel, 1999; 109) Thereby, by defining the relations which provide main syntax, the occurrence of transition is revealed. The figure shown below, states logical and syntactic transition which creates the differences between the beginning and the ending of story, applying to Greimas' semiotic square:



As it can be seen in schema, logical relations are found between allosemes which presents semiotic square. It is possible to inference the value of one element from the relations with other elements. When considered the whole story, it is obvious that the main meaning of story is composed of heroism and hostility. The relations which enforce the conceptual opponents on this axis of meaning are presented visually.

### **Characters and Their Perspectives in Story (Descriptive-Thematic Level)**

It has been tried to analyze the relations between subjects and the sequence of narration theme during the phase of investigation. However, characters' views and information about time and space are still lacking. In fact, each narration develops in a specific space, time and around specific characters. As Yücel puts forward the idea that “in practice, reaching the discourse to narrative level at least in a specific place and time depends on consisting a character who has the act of thinking or doing. (1979; 13)”. First of all, in this level, we can have a closer look on the characters and their point of views who have been identified in narrative level:

- a) Kañlı Koca “point of view”: He takes place as a brave father who looks for a girl for his son for marriage, for the continuity of generation.
- b) Trabzon tekürü “point of view”: Trabzon tekürü, presents his identity in early part.

The character, who wants to get marry to his daughter, has to kill 3 monsters. Indeed, by this stipulation, it is obvious that he seeks for heroism on the character or presents a plan for refusing to give his daughter. Thereby, he will regret and not keep his promise in next stage of the story. Thus, the facts come out (infidelity, hostility, not keeping the promise).

- c) Kan Turalı “point of view”: Kan Turalı is a brave and courageous character. The heroine, who seeks the feature of heroism on the girl whom he wants to get marry, performs what he is expected but he faces with death since he accepts the events how they seem to him (brave, courageous character).
- d) Selcen Hatun “point of view”: Heroism in Dede Korkut Tales is not only a specific feature belongs to men, but also girls are expected to be as brave as the boys. Therefore, Selcen Hatun<sup>213</sup>, saves Kan Turalı from the blasphemous (heroine (brave), loyal).
- e) Narrator’s point of view: Narrator has tried to quote events and changes within these events in the parts without mentioning the details.

From this point, when looked at the values of characters in meaning dimension, it can be seen that Kan Turalı displays the functional role. Owing to his brave and courageous behaviours with his heroism, he is appreciated within the story by trying to create a significant impact on reader’s views.

### **Space in Story**<sup>214</sup>

It has been revealed that there are two spaces which have functions in the story. One of them is Oghuz, the other one is Trabzon Tekürü.

**Space 1: Oghuz.** This space represents the part in respect to narrative dimension of story. It is the space where Kanlı Koca and Kan Turalı lives. This space symbolizes heroism and happiness for both of them.

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<sup>213</sup> Woman has a significant place in Dede Korkut Tales.

<sup>214</sup> Main Properties of perceived objects (Türkçe Sözlük, 2011; 2434).

**Space 2: Trabzon.** This is the space where Kan Turalı struggles and meets his aim. This space symbolizes the part of hostility, infidelity and inconstancy.

As it can be seen, spaces in story indicate the real world. Reality dimension of things which are told with real world knowledge draws attention in the story.

### Time in Story

In order to analyze a narrative, mentioning the term “space” is not a satisfactory way. Furthermore, the term “time” should be mentioned in respect to presence of acts. From this point, it can be seen that main narrative themes given in sections and other narrative themes are coherent in respect to time. . Themes in sections are presented in a sequence of time without independent clauses. In short, main themes and auxiliary themes appear at the same time. The actants in this story can be presented as:

MAIN ACTANTS (CHARACTER)	TIME	SPACE	FUNCTION
Kaňlı Koca Trabzon Tekürü Kan Turalı Selcen Hatun	Oghuz time	-Oghuz Land  -Trabzon	Marriage

It is clear that, a complicated structure appears in this narration. The events are given in a sequence and emphasized the significance of function.

### **Conclusion**

From the outcome of our investigation, it is possible to conclude that, it has been revealed the way of analyzing The Epic of “Kanlı Koca Oğlu Kan Turalı”, which takes place as a sixth story of Dede Korkut Tales, based on Dresden manuscript, within surface structure and deep structure in respect to Greimas Actantial Model. The concepts in story have been revealed coherently and systematically, considering that this study has a meaning occurs with combination of deep structure and surface structure by adding different particles to discourse (Kıran; Kıran (Eziler), 2007; 183). Firstly, the behaviours and the acts have been given, dividing the story into five sections on the basis of Actants Schema, in order to express the narrative level in surface structure. Later, the opponents which determine the main logic of narrative in logical-semiotic level have been shaped visually in order to determine the deep structure of story. Thanks to semiotic square, the terms character, time and space are clarified by determining the meaning level of story which consists multi- staged system and trying to reveal the way of discoursing this structure with a comprehensive analysis and methodical approach and analyzing the descriptive-thematic level which consists the second stage of surface structure in the last phase. According to these explanations, a specific sequence is followed as shown below:

<b>SURFACE STRUCTURE</b>	<b>1. NARRATIVE LEVEL</b>  <b>2. DESCRIPTIVE-THEMATIC LEVEL</b>
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<b>DEEP STRUCTURE</b>	<b>3. NARRATIVE LEVEL (Semiotic Square)</b>
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Provided that, in the first place, narrative level in surface structure, secondly, semantic level (semiotic square) which presents the abstract level of deep structure in order to strengthen the meaning, lastly, descriptive-thematic level which states the sub-phase of surface structure is considered in analysis.

In the light of these explanations, semiotics reveals the diversity of text in surface structure and deep structure, to clarify reading the messaging to real life clearly with the main meaning that occurs in this story.

**“KAÑLI KOCA OĞLU KAN TURALI DESTANI<sup>215</sup>”**

**Section 1:** Oğuz zamanında Kanlı Koca adında bir gürbüz erin Kan Turalı adlı yetişmiş bir yiğit oğlu vardır. Kanlı Koca oğlunu evlendirmek ister. Fakat oğlu alacağı kızın kendisi kadar kahraman bir kız olması gerektiğini söyler. Önce Kan Turalı, sonra babası Oğuz’u gezerler; İç Oğuz’da da, Taş Oğuz’da da böyle bir kız bulamazlar. Kanlı Koca dönüp dolaşp Trabzon’a gelir.

**Section 2:** Trabzon tekfurunun Selcen Hatun adında bir kızı vardır. Tam istedikleri gibidir. Fakat babası, bu kızı almak için sakladığı üç canavarı öldürmeyi şart koşmuştur. Bu üç canavar kağan aslan, kara boğa ve kara erkek devedir. O zamana kadar kızı isteyen otuz iki kâfir beyinin oğlu yalnız boğa ile dövüşmüş ve daha birincisinde yenilerek hepsinin başları kesilmiş ve burca asılmıştır.

**Section 3:** Kanlı Koca bunları dehşetle görür ve evine döner. Durumu oğluna anlatır, fakat gitmesini istemez. Kan Turalı dinlemeyerek yola düşer ve kırk yiğidiyle

<sup>215</sup> Muharrem Ergin (2009), Dede Korkut 1, Ankara: Türk Dil Kurumu Yayınları, s.13-14.

Trabzon'a gelir. Yaptığı karşılaşmada her üç canavarı da öldürür. Kızı alarak Oğuz'a yönelirler. Yedi gün yedi gece sonra Oğuz'un sınırına gelirler. Kan Turalı kırk yoldaşını babasına müjdecî gönderir ve kendisini karşılamalarını ister. İki sevgili güzel bir yerde inerek "işrete" dalar, yer, içerler.

**Section 4:** O zamanlar Oğuz yiğitlerinin başına ne gelse hep uykudan gelirmiş. Kan Turalı'nın da uykusu gelir ve uyur. Fakat kız kendisini sevenlerin arkasına düşebileceklerini düşünerek uyumaz ve tam kuşam atına binip nöbet bekler. Gerçekten tekfur, kız verdiği pişman olmuştur. Altı yüz kâfiri bunların arkasına takar. Kâfirler kız nöbet beklerken görünürler. Selcen Hatun Kan Turalı'yı uyandırır, savaşa tutuşurlar. Bir müddet sonra Selcen Hatun kâfirin yenildiğini sanarak kanlı kılıcıyla döner. Bu sırada Kan Turalı'nın anası ile babası da karşılamaya gelmişlerdir. Selcen Hatun Kan Turalı'nın dönmediğini görünce yeniden savaş meydanına gider. Bir dereye Kan Turalı'yı kâfirlerin sıkıştırdığını görür. Atı vurulmuş, göz kapağı yaralanmıştır. Derhal saldırarak kâfirleri dağıtır ve kendisini tanımayan Kan Turalı'ya kendisini tanıtarak onu atının arkasına alır, dönmek üzere yola girerler. Yolda Kan Turalı, Selcen Hatun'un Oğuz'da kendisini kurtardığını söyleyerek övüneceği düşüncesiyle kızını öldürmek ister ve bu düşüncesini kızı açar. Selcen Hatun önce tatlılıkla Kan Turalı'yı bu düşüncesinden vazgeçirmek ister. Başaramayınca kızar ve dövüşmeye hazır olduğunu söyler. Karşı karşıya geçerler. Selcen Hatun temrensiz bir ok atar, Kan Turalı ürperir. Koşarak kucaklaşır, barışırlar ve birbirlerini denediklerini söylerler.

**Section 5:** Sonra yeniden yola düşüp babasının yanına gelirler, oradan hep beraber Oğuz'a girer, düğüne başlarlar. Kan Turalı gerdeğe girip muradına erişir. Dedem Korkut

gelip şadlık çalıp destanlar söyler. Hikâyenin sonunda yine dünyanın geçiciliğini anlatan manzume ile ozan duası gelmektedir.

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**Are you such a non-conformist, as to express Cynicism of the “Sacred Writings of Leadership Exegeses?”**

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**Abstract**

Doing a research on sacred writings of various leadership exegesis, which inspires humanity to follow the leader, is a powerful, wonderful and inspirational pursuit of splendid educational adventure. And picking out a particular chapter which is most influential and extraordinary from the selection of entire verses that span from 2000 to 3000 pages of scriptures, gives the researcher an opportunity to feel tremendously inspired. This inspiration of the researcher presents Idealized Influence-Attributed, Idealized Influence-Behavioral, Inspirational Motivation, Intellectual Stimulation, and Individualized consideration for the for the followers to lead a truly sanctified life where serenity of fellowship, serendipity of nature, and solitude of reflection become the stepping stones for transcendental reality of life. Peace prevails in the individual and in the society peeling away cynicism. Three sacred writings in monotheistic religions will be presented.

*Keywords:* sacred exegesis, inspiration, intellectual stimulation

**Are you such a non-conformist, as to express Cynicism of the “Sacred Writings of Leadership Exegeses?”**

Doing a research on sacred writing of leadership exegesis, which inspires humanity to follow the leader, is a powerful, wonderful and inspirational pursuit of a splendid educational adventure. And picking out a particular chapter which is most influential and extraordinary from the selection of entire verses that span from 600 to 700 pages of Arabic script, gives the researcher an opportunity to feel tremendously inspired. The following is an exegesis from the sacred text of the Quran in which it is specifically stated that it is the messenger's responsibility to deliver the truth-truth and nothing but truth. This is just the essence of it. I have presented a translation from two eminent scholars who were pioneers in translation work, without which the community of scholars would have been in total dark. I have a sense of obligation to these two scholars, whom I identified below, and one of them was originally a devout Christian hailing from England, known as Marmaduke William Pickthall, later known as Muhammad Marmaduke Pickthall and the other a devout Jew born in Austria, but who was instrumental in the formation of the kingdom of Saudi Arabia-his name was Leopold Weiss, later known as Muhammad Asad.

بِسْمِ اللَّهِ الرَّحْمَنِ الرَّحِيمِ

In the name of Allah the most beneficent and the most merciful.

إِنَّا نَحْنُ نَزَّلْنَا الذِّكْرَ وَإِنَّا لَهُ لَحَافِظُونَ ﴿٩﴾

15:9 Indeed, it is We who sent down the Qur'an, and indeed, We will be its guardian.

وَإِذَا مَا أَنْزَلَتْ سُورَةٌ فَمِنْهُمْ مَّن يَقُولُ أَيُّكُمْ زَادَتْهُ هَذِهِ إِيمَانًا  
فَأَمَّا الَّذِينَ ءَامَنُوا فزَادَتْهُمْ إِيمَانًا وَهُمْ يَسْتَبْشِرُونَ ﴿١٢٤﴾

وَأَمَّا الَّذِينَ فِي قُلُوبِهِمْ مَّرَضٌ فزَادَتْهُمْ رِجْسًا إِلَىٰ رِجْسِهِمْ  
وَمَا تَوَّأَوْا وَهُمْ كَافِرُونَ ﴿١٢٥﴾

أُولَٰئِكَ يَرْوُونَ أَنَّهُمْ يُفْتَنُونَ فِي كُلِّ عَامٍ مَّرَّةً أَوْ مَرَّتَيْنِ  
ثُمَّ لَا يَتُوبُونَ وَلَا هُمْ يَذَّكَّرُونَ ﴿١٢٦﴾

وَإِذَا مَا أَنْزَلَتْ سُورَةٌ نَّظَرَ بَعْضُهُمْ إِلَىٰ بَعْضٍ هَلْ يَرِيكُمْ  
مِّنْ أَحَدٍ ثُمَّ انصَرَفُوا صَرَفَ اللَّهِ قُلُوبَهُمْ بِأَنَّهُمْ قَوْمٌ لَا  
يَفْقَهُونَ ﴿١٢٧﴾

لَقَدْ جَاءَكُمْ رَسُولٌ مِّنْ أَنفُسِكُمْ عَزِيزٌ عَلَيْهِ مَا  
عَنِتُّمْ حَرِيصٌ عَلَيْكُمْ بِالْمُؤْمِنِينَ رَءُوفٌ  
رَّحِيمٌ ﴿١٢٨﴾

فَإِنْ تَوَلَّوْا فَقُلْ حَسْبِيَ اللَّهُ لَا إِلَهَ إِلَّا هُوَ عَلَيْهِ تَوَكَّلْتُ وَهُوَ  
رَبُّ الْعَرْشِ الْعَظِيمِ ﴿١٢٩﴾

#### Interpretation of the Exegesis

9:124 YET WHENEVER a surah [of this divine writ] is bestowed from on high, some of the deniers of the truth are prone to ask, "Which of you has this [message] strengthened in his faith?" Now as for those who have attained to faith, it does strengthen them in their faith, and they rejoice in the glad tiding [which God has given them].

9:125 But as for those in whose hearts is disease, each new message but adds another [element of] disbelief to the disbelief which they already harbor, and they die while [still] refusing to acknowledge the truth.

9:126 Are they, then, not aware that they are being tested year-in, year-out? And yet, they do not repent and do not bethink themselves [of God];

9:127 and whenever a surah (a sacred passage or an exegesis) is bestowed from on high, they look at one another [and say, as it were], "Is there anyone who can see what is in your hearts?" - and then they turn away. God has turned their hearts away [from the truth] - for they are people who will not grasp it.

9:128 INDEED, there has come unto you [O mankind] an Apostle from among yourselves: heavily weighs upon him [the thought] that you might suffer [in the life to come]; full of concern for you [is he, and] full of compassion and mercy towards the believers. ( Prophet Muhammad's mercy an example with an \* at page 6)

9:129 But, if those [who are bent on denying the truth] turn away, say: "God is enough for me! There is no deity save Him. In Him have I placed my trust, for He is the Sustainer, in awesome almightiness enthroned. (9:124 through 9: 129 Translation by Muhammad Asad)

وَمَا أَرْسَلْنَاكَ إِلَّا رَحْمَةً لِّلْعَالَمِينَ ﴿١٠٧﴾

قُلْ إِنَّمَا يُوحِي إِلَيَّ أَنَّمَا إِلَهُكُمُ اللَّهُ وَحْدَهُ فَهَلْ أَنْتُمْ  
مُسْلِمُونَ

21:107 And [thus, O Prophet,] We have sent thee as [an evidence of Our] grace  
towards all the worlds

21:108 Say: "It has but been revealed unto me that your God is the One and Only God:  
will you, then, surrender yourselves unto Him?" (21:107 -108 translation by Muhammad Asad)

It was a great experience for me when I investigated the complete revelation to understand more precisely why this sacred pronouncement is so important. There are many explanations of these Ayahs (or signs) for the believer so he or she goes deeply into the interpretation (Tafseer) of it. In fact the prophet has ordained that understanding and practicing it is much better than just plain blind belief. So it is important for a believer to search for the context in which this particular revelation was made.

In understanding the true meaning of the Arabic text the reader who is not familiar with the Arabic language occasionally understands and agrees with the interpretation of the exegesis. There are literal interpretations to the Arabic language which makes the meaning very difficult to understand unless it is translated into a holistic concept of the present world.

Literally speaking, in Asad's translation of the exegesis, who emphasizes that "there are among them whose faith is strengthened whenever His messages are conveyed unto them."-- This is a reference to faith and love, trust and the promise of paradise expressed in verse above.

Again literally speaking, "it but adds [another] loathsome evil to their loathsome evil" - i.e., makes them more stubborn in their denying the truth of God's messages.

So the conflict of belief and disbelief produces conflict in the fragile human mind.

Again literally speaking, "every year once or twice" - a figure of speech denoting continuity. The "test" consists in the fact that man has been endowed with reason and, therefore, with the ability to choose between right and wrong.

Again literally speaking, implying that God elevated an "a human being like yourselves, not endowed with any supernatural powers, but only chosen by God to convey His message to you".

Again literally speaking, "the Sustainer (or Al Rabb) of the awesome throne of Almightyness," which is the rendering of the Arabic word al-'arsh, meaning "the throne of almighty"

The above is the metaphorical explanation of belief in one God, which was superbly exemplified by his prophet who insisted that he was, indeed, the messenger of God, yet only a human being. This humility of the prophet prompted so much of enthusiastic support from kings and monarchs and sultans and clergy to the ordinary people that some narratives have to be collected to define the extent to which people have been impressed by the religion of Islam through these sacred writings of leadership exegesis, which we are examining now.

### **The Quranic Interpretations of the Exegesis by way of Explanation**

First is the gratitude to the lord for giving us love and care through our own family as expressed here:

وَالَّذِينَ يَقُولُونَ رَبَّنَا هَبْ لَنَا مِنْ أَزْوَاجِنَا وَذُرِّيَّاتِنَا قُرَّةَ  
أَعْيُنٍ وَاجْعَلْنَا لِلْمُتَّقِينَ إِمَامًا



25:74 And those who say, "Our Lord, grant us from among our wives and offspring *comfort to our eyes* and *make us an example for the righteous*." (Translation by Muhammad Pickthall)

92:5

فَأَمَّا مَنْ أَعْطَىٰ وَاتَّقَىٰ ٥

As for he who gives, and fears Allah

92:6

وَصَدَّقَ بِالْحُسْنَىٰ ٦

And believes in the best [reward],

92:7

فَسَنِّيئِرُهُ لِلْيُسْرَىٰ ٧

**We will ease him toward ease.** (92:5-7 Translation by Muhammad Pickthall)

Meaning: And learn from the Quran (the revealed book of Allah) by reciting it in a measured voice in the dead of night, an hour or more; or add to it extra hours in the dead of night\* so it has an indelible effect on your mind

73:4

أَوْزِدْ عَلَيْهِ وَرَتِّلِ الْقُرْآنَ تَرْتِيلًا ٤

\* Or add to it, and recite the Qur'an with measured recitation. Recite the Qur'an calmly and distinctly, with thy mind attuned to its meaning.

73:5

إِنَّا سَنُلْقِي عَلَيْكَ قَوْلًا ثَقِيلًا ٥

Indeed, We will cast upon you a heavy word.

73:6

إِنَّ نَاشِئَةَ اللَّيْلِ هِيَ أَشَدُّ وَطْأًا وَأَقْوَمُ قِيلًا ٦

Indeed, the hours of the night are more effective for concurrence [of heart and tongue] and more suitable for words. (73:4-6 (Translation by Muhammad Pickthall)

On these sacred writings of leadership exegesis, a historian once said **a great man should be judged by three tests:** *Was he found to be of true metal by his contemporaries ? Was he great enough to raise above the standards of his age ? Did he leave anything as permanent legacy to the world at large?* This list may be further extended but all these three tests of greatness are eminently satisfied to the highest degree in case of prophet Muhammad (PBUH). Some illustrations of the three above profound characteristics have been adequately met or superbly exceeded by him as the most revered man on earth.

\* an example of Muhammad's generosity (PBUH)—Please read the event using URL.

**Thumamah Incident short version:** <http://www.islam-explained.info/home/the-story-of-thumamah/>

**Thumamah Incident long version :** [http://www.islamicbulletin.org/free\\_downloads/companions/story\\_of\\_thumama.pdf](http://www.islamicbulletin.org/free_downloads/companions/story_of_thumama.pdf)

Humanity has produced great and mighty leaders from time to time, and university professors also fall in that category too. Leaders have exercised influence in different styles and forms from transformational, charismatic, transactional, MBEA or even without the existence of such categories then. They have also used some approaches or methods unknown to them then, but described in the current and latest paradigm as Individual Consideration (IC), Idealized Inspiration attributed (IIA), Idealized Inspiration Behavioral (IIB), Inspirational Motivation (IM), Intellectual Stimulation (IS).

With the increase of violence all over the world, and in the Western and Eastern civilizations, some of the world leaders and thinkers have provided some insights into such situations by lamenting the past and musing about the future. Fifteen centuries ago a transformational leader / servant leader brought a message to a local community which

later became the global community of 1.6 billion people-and they're called Muslims. And the messenger was Muhammad (PBUH). His transformational leadership was so unique that young and old follow his unique teachings and living their everyday life. Here are some of the testimonies to his life and legacy extracted from the above exegesis demonstrating how he used servant leadership then. This is indeed testified by these sacred writings of leadership exegesis.

Some people did the following prayer on post valentine day invocation among the midst of love and aspirations and found contentment in our midst.

Corinthians 13 New International version (NIV):

“Love is patient, love is kind. It does not envy, it does not boast, it is not proud. It does not dishonour others, it is not self-seeking, it is not easily angered, it keeps no record of wrongs. Love does not delight in evil but rejoices with the truth. It always protects, always trusts, always hopes, always perseveres.”

Exegesis from the Torah:

If you argue and contradict with others, you may sometimes win a battle, but you will never win the war, since the animosity that develops may alienate you from your friend. On the other hand, if you humble yourself and regard the other person’s importance, peace will ensue. “A gentle response will turn back anger” (Proverbs 15:1)

An Exegetical Warning in Torah

I should add, however, something I think is very important in this regard. Do not attempt to do deeper analysis of the Scriptures until you have first mastered P’shat. This is why Rashi is so important. “What’s troubling Rashi?” is the first step to exegesis—first be sure you understand the plain, historical meaning of the text before you launch out into

speculations and mystical readings!  
info@hebrew4christians.com)

(Taken from

On the contrary, with respect to love, kindness and honor, and all the virtues of man, the exegetical explanations in the Quran are quite different as I have shown earlier!

### **Conclusion**

INDEED, Prophet Muhammad's life was exemplified by his actions and deeds which have been inscribed in volumes of his *Seerah and Sunnah* (Life and deeds of the prophet) and inscribed in hearts of young and old.

**“The best among you is the one who doesn't harm others with his tongue and hands.”-- Prophet Muhammad(PBUH)**

Here are the following biographies of his testimony by renowned notables. I do not just say this, but I will like to testify that the following notables also have verified the life of Prophet Muhammad in the finest detail, to bring such testimony to 1.6 billion Muslims who live and die for the prophet of Islam. They also feel that they are the martyrs for a cause to defend Islam, when cartoonists cast aspersion on this great mercy to humanity!

**I. Michael H. Hart (1932- )** *Professor of astronomy, physics and the history of science.*

"My choice of Muhammad to lead the list of the world's most influential persons may surprise some readers and may be questioned by others, but he was the only man in history who was supremely successful on both the religious and secular level." [*The 100: A Ranking Of The Most Influential Persons In History*, New York, 1978, p. 33]

**II. Alphonse de Lamartine (1790-1869)** *French poet and statesman.*

"Philosopher, orator, apostle, legislator, warrior, conqueror of ideas, restorer of rational beliefs/ dogmas, of a cult without images; the founder of twenty terrestrial empires and of one spiritual empire, that is Muhammad. As regards all standards by which human greatness may be measured, we may well ask, is there any man greater than he?"[Translated from *Histoire De La Turquie*, Paris, 1854, vol. II, pp. 276-277]

This is a collection of short quotations from a wide variety of Non-Muslim notables, including academics, writers, philosophers, poets, politicians, and activists belonging to the East and the West.

To our knowledge none of them ever became Muslim. These words, therefore, reflect their personal views on various aspects of the life of the Prophet.

**III. William Montgomery Watt** (1909- ) *Professor (Emeritus) of Arabic and Islamic Studies at the University of Edinburgh.*

"His readiness to undergo persecutions for his beliefs, the high moral character of the men who believed in him and looked up to him as leader, and the greatness of his ultimate achievement - all argue his fundamental integrity. To suppose Muhammad an impostor raises more problems than it solves. Moreover, none of the great figures of history is so poorly appreciated in the West as Muhammad." [*Mohammad At Mecca*, Oxford, 1953, p. 52]

**IV. Reverend Bosworth Smith** (1794-1884) *Late Fellow of Trinity College, Oxford.*

" He was Caesar and Pope in one; but he was Pope without the Pope's pretensions, and Caesar without the legions of Caesar. Without a standing army, without a bodyguard, without a palace, without a fixed revenue, if ever any man had the right to say that he ruled by a right Divine, it was Mohammed; for he had all the power without

its instruments and without its supports." *Mohammed and Mohammedanism*, London, 1874, p. 235]

**V. Mohandas K. Gandhi** (1869-1948) *Indian thinker, statesman, and nationalist leader.*

"...I became more than ever convinced that it was not the sword that won a place for Islam in those days in the scheme of life. It was the rigid simplicity, the utter self-effacement of the prophet, the scrupulous regard for his pledges, his intense devotion to his friends and followers, his intrepidity, his fearlessness, his absolute trust in God and in his own mission. These, and not the sword carried everything before them and surmounted every trouble." [ *Young India* (periodical), 1928, Volume X]

**VI. Edward Gibbon** (1737-1794) *Considered the greatest British historian of his time.*

"The greatest success of Mohammad's life was effected by sheer moral force without the stroke of a sword." [ *History Of The Saracen Empire*, London, 1870]

"His (i.e., Muhammad's) memory was capacious and retentive, his wit easy and social, his imagination sublime, his judgment clear, rapid and decisive. He possessed the courage of both thought and action." [ *History of the Decline and Fall of the Roman Empire*, London, 1838, vol.5, p.335]

**VII. John William Draper** (1811-1882) *American scientist, philosopher, and historian.*

"Four years after the death of Justinian, A.D. 569, was born at Mecca, in Arabia the man who, of all men, exercised the greatest influence upon the human race . . .

Mohammed." [ *A History of the Intellectual Development of Europe*, London, 1875, vol.1, pp. 329-330]

**VIII. David George Hogarth** (1862-1927) *English archaeologist, author, and keeper of the Ashmolean Museum, Oxford.*

“Serious or trivial, his daily behavior has instituted a canon which millions observe this day with conscious mimicry. No one regarded by any section of the human race as Perfect Man has been imitated so minutely. The conduct of the Founder of Christianity has not so governed the ordinary life of His followers. Moreover, no Founder of a religion has been left on so solitary an eminence as the Muslim Apostle.[*Arabia*, Oxford, 1922, p. 52]

**IX. Washington Irving** (1783-1859) *Well-known as the first American man of letters".*

He was sober and abstemious in his diet, and a rigorous observer of fasts. He indulged in no magnificence of apparel, the ostentation of a petty mind; neither was his simplicity in dress affected, but the result of a real disregard to distinction from so trivial a source ... In his private dealings he was just. He treated friends and strangers, the rich and poor, the powerful and the weak, with equity, and was beloved by the common people for the affability with which he received them, and listened to their complaints ... His military triumphs awakened no pride nor vain glory, as they would have done had they been effected for selfish purposes. In the time of his greatest power he maintained the same simplicity of manners and appearance as in the days of his adversity. So far from affecting regal state, he was displeased if, on entering a room, any unusual testimonial of respect were shown to him." [*Life of Mahomet*, London, 1889, pp. 192-3, 199]

**X. Annie Besant** (1847-1933) *British theosophist and nationalist leader in India. President of the Indian National Congress in 1917.*

"It is impossible for anyone who studies the life and character of the great Prophet of Arabia, who knows how he taught and how he lived, to feel anything but reverence for that mighty Prophet, one of the great messengers of the Supreme. And although in what I put to you I shall say many things which may be familiar to many, yet I myself feel whenever I re-read them, a new way of admiration, a new sense of reverence for that mighty Arabian teacher." [*The Life And Teachings Of Muhammad*, Madras, 1932, p. 4]

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**Mediating Role of Information Systems in the Effect of Organizational  
Culture on Marketing Performance in Family Firms**

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**Abstract**

This study investigates the mediating role of information systems in marketing performance for the family organizations according to their organizational culture characteristics. In this quantitative study, three questionnaires including, information success model, marketing performance and organizational culture are used for data acquisition from 30 family firms operating in Erzurum, Turkey. These firms have at least 15-years experiences and the second generations are heading the firms. All the firms included this study use at least a transaction processing systems. In statistical analysis, although one can see the trend that the organizational culture has also an advantage in market success and IS success, this effect does not reach to significance in the ANOVA. The reason of this may be the small sample size (i.e. there are only 6 companies in

organizational culture category clan and adhocracy, 10 in market, and 8 in hierarchy). It may also be a result of companies' functioning in different sectors.

*Keywords:* information system success, organizational culture, marketing performance, family firms, firm performance

## **Mediating Role of Information Systems in the Effect of Organizational Culture on Marketing Performance in Family Firms**

How information systems contribute the business performance is one of the main questions for the management information systems discipline. However, the answer is not easy to explain unless the focused problem of organization is taken into account. This is because the fact that integration of information systems depends on many different factors such as organizational features, business scope etc. One of the important organizational features is culture. Although there are many studies on culture in different domains, organizational culture represents the usage of business processes (Mwaura et al., 1998). More comprehensive definitions of organizational culture were also proposed in literature (Wilkins, 1983; Pettigrew, 1979; Ilhan, 2006; Daft, 2004). Despite the differences in these definitions, organizational culture have some common thread to all those. That is, changing over time, being shared, social, continuous, learnable, guiding and having history are the common characteristics of organizational culture (Tayep, 1998; Walton, 1988).

In order to measure and classify organizational culture, many different approaches have been proposed (Wiener, 1998; Robbins, 2003). In the study conducted by Cameron and Quin (1991), organizational culture is classified either as clan, adhocracy, market or as hierarchy. These four categories are also used in this study as organizational culture types. Organizations having clan culture give great importance on collaboration and have protectiveness characteristics. On the other hand, adhocracy oriented organizations are willing to take risks and wants to be different from their competitors. If an organization is market-wise, then efficiency, production and competitiveness are the focal points to get the

job. In hierarchy-oriented organizations; plan, control, monitoring and audit are the key factors to achieve success.

In the digital age, one of the main attribute of organizations is their ability to utilize information systems on their business processes. This is important for the competitive advantages and effective decision making. However, organizations need to measure success of information systems to improve their utilizations. Information Systems Success Model is an approach to do so. These models not only measure individual impact of IS but also evaluate organizational aspects. IS Success model includes, system quality, service quality, information quality, user satisfaction, intention to use, usage, information quality and infrastructure quality (Delone and McLean, 2003). The relations among these components can be seen in Figure 1.

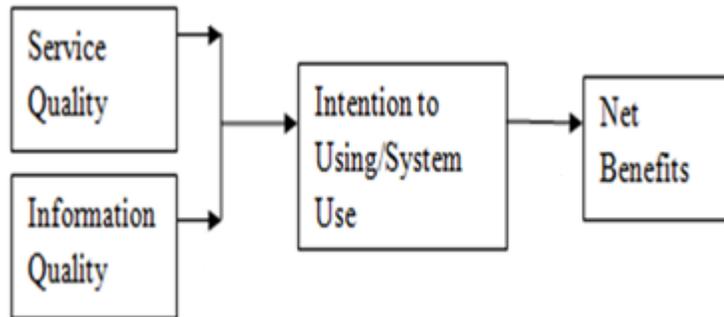


Figure 1 Information Systems Success Factors and Relations (Source: Wu and Wang, 2006: 730; Wang and Liao, 2008: 720-722)

When information systems are used in an integrated manner with all the business functions, overall success will be inevitable. It is also undoubtedly important for the marketing performance. But it should be also noted that it is not very easy to measure the marketing performance very clearly. There is a research gap in the literature about specifying factors on marketing performance. Marketing managers suffer from the lack of

methodology about the measurement of marketing performance. This case also deemphasizes the marketing department against others. Therefore, the marketing function is under the pressure to measure marketing performance in terms of financial and quantitative contribution (Hacıoğlu, 2012).

Decisions in implementation and establish of marketing strategy process aims to maximize the marketing facilities. Since the marketing process starting from pre-production and continue to post-sale period, most of the activities in this period is related to the marketing.

Therefore, the marketing function performs its activities in a wide range. All activities that are carried out in order to determine the marketing strategy will also have a direct impact on the marketing performance

According to Ferrell, Hartline and Lucas (2002), one of the essential analyses that should be carried out to determine the marketing strategy is the environmental analysis. This analysis plays an important role in achieving an efficient marketing strategy. A correctly determined strategy that is occurred by virtue of this analysis will also have a positive impact on the marketing performance. These factors that shape the marketing strategy can be classified as customers, internal and external factors (Figure 2). Internal factors (internal environmental factors) are the factors that are under the control of business and their direction can be freely changed. Organizational culture and structure are examined within this context. External factors can be defined as the level of competition, economic conditions, political environment, technological development and changes, legal and regulatory factors, and social and cultural dynamics. All these factors have an effect on the marketing strategy; therefore, they should be considered.

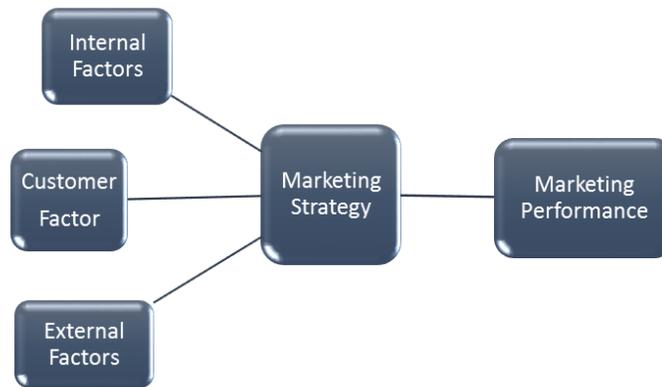


Figure 2 Factors affect marketing performance

All these abovementioned factors, within the scope of the marketing performance, will have an impact on the number of customers, sales, the market share, the adaptation process on the demands and changes of costumers and the market, the level of customer satisfaction and the customer oriented strategies. In this context, marketing performance is tried to measure based on the study conducted by Karabağ (2008) which is also include marketing performance in addition to firm performance.

Even though there are some studies such as (Bharadwaj, Bharadwaj and Konsynski, 1999; Wu, Yeniyurt, Kim, and Cavusgil, 2006; Stone, Good and Baker-Eveleth, 2007) investigate effect of information systems on marketing performance, there are a limited number of study to cope with the mediating role of IS for different cultures of organizations. In this study, it is aimed to investigate the mediating role of information systems in marketing performance for the family organizations according to their organizational culture characteristics.

## **Methodology**

In order to investigate the mediating role of information systems on marketing performance according to organizational culture of family firms, a correlation study which is used to test correlation between two or more different phenomena or groups is designed.

### **Data Collection and Instrument**

Data collection process consists of three main steps; determining culture, measuring marketing performance and information systems success. To do so, three questionnaires from the literature are adapted. The instrument proposed by Cameron and Quin (1991) is adapted and used for organizational culture. In order to evaluate information success model, the study conducted by Delone and McLean (2003) is used as baseline. Marketing performance questionnaire is adapted from the study of Karabag (2008). Even though, Karabag (2008) proposed 5 items for marketing performance, competitive and market performance items were adapted to measure marketing performance. These questionnaires are integrated to obtain the final version of questionnaire. Questions about demographic information are also included. For the language correction an expert reviewed the questionnaire. For the validity of the questionnaire, three experts from management information systems, management and organization, and marketing departments (different from the authors) evaluated the adapted questions.

### **Participants**

In order to investigate IS mediating role on the effect of organizational culture on marketing performance, 30 family firms registered to Erzurum (city in TURKEY) chamber of commerce have participated in this study. These family firms are determined on the basis of three criteria. One is that the firm should have at least 15-years experiences, and

second is that the second generation should be heading the firm. Lastly, all firms use at least a transaction processing system. All firms were visited to acquire data by one of the authors. The questionnaires are filled by the managers. Detail demographic and experience information of the family firms is shown in Table 1.

Table 1 Age, generation and number of employees

		N	%
Age of Company	15-30 years	13	43,3
	30-50 years	13	43,3
	50 years or more	4	13,4
Generation	Second	17	56,6
	Third	11	36,7
	Fourth or more	2	6,7
Number of Employees	1-10	16	21,3
	10-50	41	54,7
	50 or more	18	24

### Results and Conclusion

In this part of this study, the data is analyzed using both correlation and ANOVA tests. Bivariate correlations among the firm age, heading generation, number of employees, organizational culture, IS success and marketing performance are tested. However, none of the correlations (except the trivial correlation of firm age and heading generation) reach

to significance. Yet, for a closer examination of the separate and mutual effects of organizational culture and IS success on marketing performance, an ANOVA with organizational culture and IS performance as between-subjects variables on marketing performance is also conducted. The results of the ANOVA do not reveal any significant effect. However, there are several trends in the data (as shown in the following graphs) that are worth to inspect.

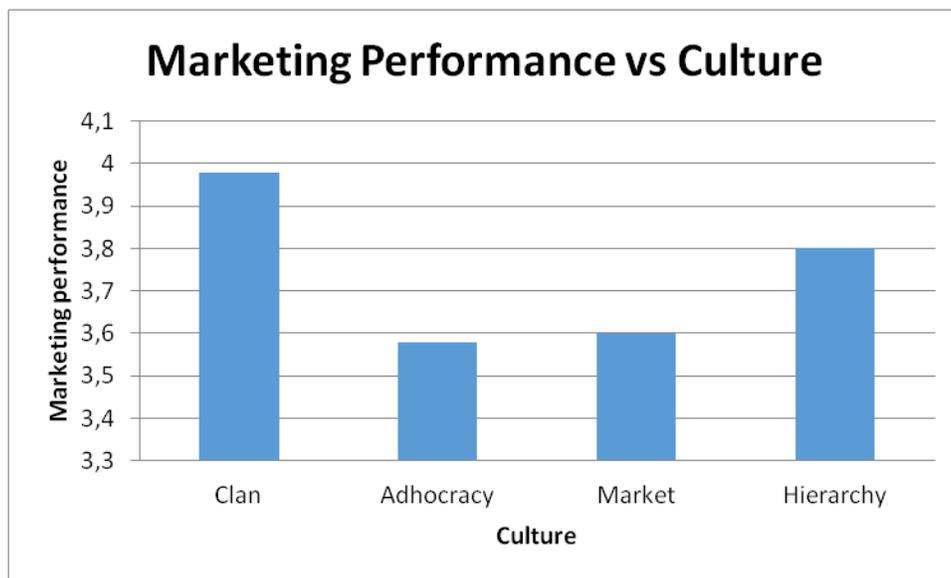


Figure 3 Relation between marketing performance and culture

As can be seen from Figure 3, clan culture family firms have the highest marketing performance. Also, hierarchy culture firms have a higher marketing performance than marketing culture firms, and marketing culture firms have a higher marketing performance than adhocracy culture firms. Unexpected success of clan culture firms may actually be a result of personal biases. That is, in these firms the questionnaire is filled by a manager who is also a member of the family. This suggests that a study that gathers the marketing

performance information in more objective ways (avoiding at least personal biases) is required to reveal a more consistent relationship between culture and the marketing performance.



Figure 4 Relation between marketing performance and IS success

IS success data is ranked to 5 categories by rounding the IS success mean scores for each family firm. The graph shows that there is not a distinct relation between IS success and marketing performance. Nevertheless, the firms that are ranked as 4 in IS success have the highest marketing performance. This finding is not in line with the literature. One possible reason of this inconsistency is the small sample size.



Figure 5 Relation between IS success and Organizational Culture

The main objective of the present study is to examine the mediating role of information systems in the effect of organizational culture on marketing performance in family firms. Therefore, relationship between IS success and organizational culture is also crucial. Although there is no statistically significant relationship between IS success and organizational culture, the trend of this relationship is similar to the one between marketing performance and organizational culture (Figure 3 and Figure 5). This may imply that IS have supporting role on marketing performance through the organizational culture (Figure 6).



Figure 6 Relation of culture, IS success and marketing performance

To sum up, although one can see the trend that the organizational culture has an advantage in market success and IS success, this effect does not reach to significance in the ANOVA. The reason of this may be the small sample size (i.e. there are only 6 companies in organizational culture category clan and adhocracy, 10 in market, and 8 in hierarchy). It may also be a result of companies' functioning in different sectors. Nevertheless, the visual representation of the data shows that there is a similarity between the effects of organizational culture and IS Success on marketing performance. However, in order to see this relation more clearly sample size should be increased. As a limitation of the study, there is the difficulty to find the family firms that satisfy all the constraint of the study, which are having at least operational level information systems, 15-years experience and the second generation heading the firm.

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**EVALUATION OF SPORTS TRAINERS PERCEPTIONS ON COMPUTER AIDED EDUCATION RELATED TO THE ATTITUDES TOWARD LEARNING**

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**Abstract**

Technologic developments have – the same as they have done it in every sector- influenced the education system. These influences have forced public bodies within the education system to use the computer which is a product of scientific and technologic developments. The aim of this research is to determine, compare, and examine the influences on the conduct for learning of sport educators towards their perception of Computer Aided Education. The perception levels of sport educators related with computer aided education was revealed in this context at the end of the research, the risk factors and their conduct for learning was determined, the variables which might affect their conduct for learning with computer aided education were determined. The population of research was composed of sport educators in Turkey. The sample group was composed of 616 male and 278 female sports educators in the school year 2012-2013. The data obtained was analyzed using SPSS 15.0 statistical package program.

In the end of this research, it had been seen that the perception of sport educators of computer aided education was high. Also it was concluded that significant differences exist on sub-dimensions in their conduct for learning and the relationship

between in terms of conduct for learning of sports educators are above average, has a strong relationship positively and significantly ( $r = 0.596$ ).

*Key Words:* computer aided education, sport educators, conduct for learning.

## **EVALUATION OF SPORTS TRAINERS PERCEPTIONS ON COMPUTER AIDED EDUCATION RELATED TO THE ATTITUDES TOWARD LEARNING**

The thought of training the body which forms the unity of the ideal and spiritual features of human being, for certain aims is as old as human being on universe. In this frame, societies have given great importance to sports education which enables the development of mental, emotional and social as well as the physical development of human. Thus, sport facilities has become a crucial part of the human life nowadays. Moreover approaches of media to sports, coping with stress, efforts of keeping their bodies fit and also international successes in sports have gained importance and in the daily lives of society and morale levels. Those helped sports to gain a contemporary aspect.

One of the most important basic requirements of reaching of the sportsman to the expected level is to have well-educated and intellectual, skillful, talented coaches who can perform in all levels. It is an obligation to educate and improve coaches trained in a model in different sports branches considering the features of those branches. For that reason a coach trained by using scientific facilities with the essential principles trains his/her sportsman in the best way. One of the institutions which are directly related to train coaches in our country is higher education institutions training physical education and sports teachers and the other is General Directorate of Youth and Sports.

Definitely, when it comes to trainer staff in sports the first thing coming to mind is coaches and physical education teachers. Sports trainers called coaches in sports have great part in the development of sports. The more a coach is informed, trained in an adequate training program and later have a chance of better working conditions, the more trainees will show performance. Başer states that essential knowledge and skills may be provided

by an essential education in order to be successful in his/her branch, one should be a psychologist, sociologist, training expert when required.

Teacher, another sports trainer is the most fundamental member of education given in schools. Teachers play leading role in development of a country, brought up of skillful human resources, providing peace and social reconciliation, socializing of the individual and preparing for the societal life, transferring the values and culture of society to youth. Teachers are the real architects of societies and also artists shaping human personality.

A teacher is an individual designer who can transfer complex skills directs and shapes human behaviors. A teacher is not only a scientist who tries to contribute to the society and education sciences with his/her implementations and responsible towards society but also a philosopher transferring social and universal values to generations possessively. At the same a teacher is a psychologist, educator, sociologist, and technocrat except from the definitions in legislations.

Developing technology provides us different opportunities .Countries struggle for improving the quality of the human resources that the future requires with the new developments. In accordance with these attempts the importance of knowledge increases. This increase caused information societies and changed life styles of societies. Technological developments affect all areas as well as educational systems. These effects entail using computers as a product of scientific and technological developments in educational applications in educational institutions,

The population of Turkey increases in a rate of 18, 35 per thousand and a big part of this population is composed of youth under 21. The importance of the matter is clear for such a country whose population is young and dynamic. Rapid increase in population

brings some problems. These problems are seen as lack of classes, teachers, schools and materials. The solution of those problems lay in meeting of the requirements of education institutions with their teachers and students.

Scientific and technological developments not only entail new educational requirements but also they provide new opportunities to educational applications. Computers are one of the leading opportunities. Computers have been used in every part of society also they have become an indispensable part of daily life. By 1950, teaching materials had been teacher course book, blackboards etc. After 1950, the question “Should computer be used in education?” aroused. Nowadays, The question “Should computer be used in education? “Substitute for the question “How a computer should be used in education efficiently? The widespread usage of computers in social life and adaptation of people to this new social life require familiarization and skills for computers. It is possible for people to be educated on computers via placing computer classes in their curriculum.

In the light of all those information this study aims to compare examine and determine the perception levels of sports trainers related to computer aided education, effects on attitudes related to learning.

### **Material and Method**

This study aims to compare examine and determine the perception levels of sports trainers related to computer aided education, effects on attitudes related to learning in the education term of 2012-2013. In this context, risks factors and attitudes towards learning are determined by revealing the perception levels of sports trainers related to computer aided education. Variances affecting the perception levels of sports trainers related to computer aided education has been determined. In the light of gathered information It has

been aimed to determine the direction of relation between the perception levels of sports trainers related to computer aided education and attitudes towards learning with correlation tests.

Population is consisted of sports trainers in Turkey. Sample calculation methods related to number of population are not used while determining sample number, for it is not aimed to estimate with a determined sensitively.. The most suitable sample group is determined by using  $n = Nt2pq/[d2(N- 1)+t2pq]$  formula for sample group. Moreover Attention has been paid to provide required minimum sample size for suitable statistical analysis of suitable sample sizes to be reached. In this study required minimum sample size has been calculated as 924 people because there are 2 freely estimated parameters to be tested in structural equation modeling. Study has been conducted on a sample with 894 people in defiance of missing data.

In 2012-2013 education terms there were 14050 active sports trainers in Turkey. In this context there were 894 volunteers taking part in study on the internet.

In the study two scales were published on the internet blog as a data collection tool. Attitude scale for computer aided education (BDEYİTÖ) developed by (ARSLAN 2006) was used to evaluate perceptions of computer aided education. Attitude scale related to learning (ÖİTÖ) whose validity, reliability studies done developed by (KARA, 2010) was used to determine the attitudes of sports trainers related to learning. Besides demographic information and personal information form were added to the first page of scales by researcher. (11-12)

## **Findings**

Table 1 *Demographic features of sports trainers taking part in the study*

<b>Features of Sports Trainers</b>		<b>N (%)</b>
Sex	Male	616 (68,90)
	Female	278 (31,09)
Age	25 age and under	270 (30,20)
	26-35 age	242 (27,06)
	36 age and over	382 (42,72)
Vocational Experience	1-5 years	298 (33,33)
	6-10 years	314 (35,12)
	11-15 Years	142 (15,88)
	16-20 Years	76 (8,50)
	21 years and over	64 (7,15)
Level of vocational satisfaction	Low	632 (70,69)
	Medium	211 (23,60)
	High	51 (5,70)
Income Level	1000 TL and under	182 (20,35)
	1001- 2000 TL between	326 (36,46)
	2001-3000 TL between	262 (29,30)

	3001 TL over	124 (13,87)
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When the data in table 1 is examined It has been determined that 68, 90% of the participants are male and 31, 09 % female. Again in the same table when age states of participants are examined, it has been determined that 30, 20% of the participants are at the age of 25 and under, 27, 06% between 26-35 and 42, 72% are 36 and over.

On the personal information form the participants are asked to answer a question “what is your vocational satisfaction level” .There has been a classification on the choices as low-medium-high level. As a result, regarding participants’ declarations vocational satisfaction levels have been determined that 70, 69 % are at low level 23,60 % are medium and 5,70 % are high level .When income levels of sports trainers are examined, it can be clearly understood from the table that 20,35% of the participants have 1000 TL and under monthly income,36,46 % of the participants have monthly income between 1001-2000 TL , 29,30 % participants monthly income 2001-3000TL and 13,87% participants have monthly income of 3001 TL and over.

Table 2 *Distribution of Points for perceptions of computer aided education*

	N	Lowest Point	Highest Point	Avarege	ss
Points for perceptions of computer aided education	894	34	93	71,95	13,91

Standard deviation as seen in the table 2 the average point of sports trainers’ perception of computer aided education is 71,95 , standard deviation is 13,91 the highest perception point is 93 and the lowest perception point is 34.According these values, sports

trainers' perception of computer aided education corresponds to "I agree" category. This finding shows that sports trainers' perception of computer aided education is positive and they rely on themselves.

Table 3 *The results of variance analysis of sports trainers' perceptions of computer aided education according to their vocational experiences.*

Vocational Experience	N	$\bar{x}$	ss	sd	p	Significant difference
1-5 Years	298	74,72	10,71	792	0.000	1-5, 1-4, 1-3, 2-5, 2-4, 2-3
6-10 Years	314	74,96	12,92			
11-15 Years	142	66,85	13,14			
16-20 Years	76	65,23	12,98			
21 Years and over	64	61,61	12,11			

As seen in table 3, as a result of analysis of variance there is a statistically significant difference between points of sports trainers' perception of computer aided education and vocational experience status ( $p < 0.05$ ). It has been understood from the table that sports trainers whose vocational experiences are low but points for perception of computer aided education are high. In the light of gathered information, It has been determined that the statistically significant difference is among sports trainers whose vocational experiences are between 1-5, 1-4, 1-3, 2-5, 2-4 and 2-3. According to this, it can be said that the perception levels of computer aided education of whose vocational experience is over 15 years are higher than the ones whose vocational experiences are under 15 years.

Table 4 *The results of independent groups T-test related to attitude of learning in terms of sex status of sports trainers.*

Sub-dimension	Sex	N	$\bar{x}$	ss	t	p
Nature of Learning	Male	616	29,11	3,59	-2,65	0,01
	Female	278	30,85	3,15		
Concerns over learning	Male	616	39,41	8,27	7,26	.00
	Female	278	28,54	6,55		
Expectations from learning	Male	616	37,19	4,17	-3,2	.00
	Female	278	39,74	4,51		
Availability to learn	Male	616	40,11	6,55	-6,27	.00
	Female	278	47,74	6,17		

In table 4 “sub-problem of the research” it has been evaluated whether there is a significant difference in sports trainers’ attitudes related to learning in terms of their sex or not.

There is a difference in the average of given answers to attitude of learning in terms of sex status of sports trainers. Significant differences have been observed in 4 sub-dimensions according to independent groups T-test results done to determine whether differences are significant or not. It is determined that there are statistically significance in the averages of dimensions between the nature of learning for male and female trainers  $X_{erkek} = 29,11$ ,  $X_{kadın} = 30,85$ ,  $X_{erkek} = 29,11$  and again in sub-dimension of expectations  $X_{erkek} = 37,19$ ,  $X_{kadın} = 39,74$ , in the sub-dimension of availability to learn  $X_{erkek} = 40,11$ ,  $X_{kadın} = 47,74$ .

In sub-dimension of concern over learning it has been observed that male sports trainers have a higher significant average than female sports trainers. ( $x_{male} = 39.41, x_{female} = 28.54$ )

female =28.54).According to the data on the table It can be said that male sports trainers are more discontented than females.

Table 5 *The Correlation Test Results between Attitudes related to Learning and Perceptions of Computer Aided Education of sports trainers*

Features		Perception of Computer Aided Education	Attitude related to learning
Perception of Computer Aided Education	Pearson Corelation	1	<b>.596(*)</b>
	P		.000
	N	894	894
Attitude related to learning	Pearson Corelation	<b>0.596(*)</b>	1
	P	.000	
	N	894	894

According to table 5, the relation between attitudes related to learning and perceptions of the participants in computer aided education is over the average and also it has been determined that there is a strong positive and significant relation (  $r = 0.596$ ).

In the light of the gathered data it has been determined that there is a significant differences in terms of different variances sports trainers' perception points for computer aided education. However, significant differences in terms of variances have been understood from data in sub-dimensions of attitude related to learning of sports trainers. Moreover, strong positive and significant relation between attitude related to learning of sports trainers and points for perception of computer aided education.

## Discussion and Conclusion

Research sample is consisted of 616 (68, 90%) male and 278 (31, 09%) female volunteer physical education teacher and coaches who are defined as sports trainers in the 2012-2013 education term. Data values obtained from research analysis have been calculated for percentage (%), standard deviation (ss) and standard error (#). Crosstab analysis  $\chi^2$  test has been regarded as  $p < 0.05$  significance level in statistical evaluation of data. Moreover, Pearson Multiplication Momentum Correlation is used to determine the relation level and direction in terms of variances in the evaluation.

It has been determined that vocational satisfaction level of 70, 69% is at low level 23, 60% at medium level and 5,70 at high level according to declaration of the sports trainers (table 1). Besides, it has been understood from the table that 20,35 % of the sports trainers have a monthly income of 1000 TL and under, 36,46 % between 1001-2000, 29,30% between 2001-3000, 13,87% 3001 TL and over. Keklik Y (2007) studied education directors' perceptions of computer aided and in his study it is understood that vocational satisfaction levels of education directors are low. (13)

77, 06% (689 participants) of the participants declared that they have at least one computer and it is also understood the data that 22, 94% (205 participants) of the participants do not have their own computers. It is clear on the table that 44, 88% (448 participants) attended a computer course ones in a life time and the rest 50,11 % (894 participants) declared that they haven't attended any computer courses. Moreover, 65,10% (582 participants) expressed that they want to attend a computer course with a intention of learning ,but 34,89% (312 participants) had no intention of attending a course. In a study conducted by Swan (1995) state of having a computer in the process of computer aided

education was studied and it was understood that 12,5 % of the participants had computers. In our study state of having greater numbers of computers can be explained by widespread usage of technology related to the development of technology (14).

It has been determined that on behalf of the participants who are good at using computer, there is a statistically significant difference between the perceptions of computer aided education and basic computers skill levels. Moreover, there is a statistically significant difference among sports trainers perception of computer aided education, frequency of computer usage and level of computer skills on behalf of the participants who are good at computer skills and using computers more frequently. In this situation, perception can be related to exact and true lives and former experiences as Bandura stated (1995). Thus, the result shows parallelism with the results found by Keskinçilic and Alabay(2006), Seferođlu (2005), Ařkar and Umay (2001). But the result of this study contradicts to the result of Yılmaz and friends study 2006 because the study does not show difference in the perception of self-sufficiency related to computer aided education according to the computer use experiences and frequency of computer use. According to Cambaz's study (1999) which is one of the studies on computer aided education, teachers' attitudes toward computers did not show difference by gender. Similarly in the study conducted by Ünalđı (2003), teachers' attitude toward computer assistance in education did not show difference by gender. In the study conducted by Aydođdu (2003) "The attitude of secondary school geography teachers toward computer aided education" ,teachers' attitude toward computer assistance in education did not show difference by gender. Hızal (1989) expresses in "the evaluation of teachers' opinions on computer education and computer aided education" that regardless of teachers' genders, their

attitudes toward computer aided education are positive and they are interested in such applications. It is understood that by Deniz's (2005) study "the attitudes toward computers of form and branch teachers working in primary schools" that there is no difference between the sub-scales of computer concern and computer aided education when examined by sub-scales whether on teachers' attitude toward computers show difference by gender. Çelik and Bindak (2005) concluded in their research that the difference between male and female teachers' points on their attitude toward computers is statistically insignificant. Research findings is found supporting former research results. (16-17)

Yıldırım (2006) concludes in his article "the use of information technologies in primary school first stage" questioning that in the world of electronic devices are often used, lack of attention caused by the unconscious use of computers, attitude against society, insufficient motivation, depression and inefficient study habits are prevented.

Gürol (1990) in his masters' thesis "opinions and attitudes toward computer as an education material" expresses that teachers play a key role in use of computers. Gürol also warns that there will not be efficient participation of teachers unless they know the limits and advantages in education. Most of the teachers who are not familiar with technologic materials and tools feel worried. It is expressed that the more teachers are familiar with the tool and comprehend its significance on educations such negative attitudes will disappear. (18)

In our study, it is determined that the observed differences between male and female sports trainers' nature of learning, expectations from learning and availability to learn are statistically significant. Therefore, it is seen that female sports trainers understand better the nature of learning and their expectations from learning are higher and they are more

available to learn. It is concluded that male sports trainers have more significantly higher average on concerns over learning than females have.

The sports trainers whose seniorities are between 1-5 years have the highest expectations from learning. The ones whose seniorities are 21 years and over have the lowest expectations from learning. The differences between the averages of availability to learn are statistically significant. The sports trainers whose seniorities are between 1-5 years have the highest level of availability to learn. The ones whose seniorities are 11 years and over have the lowest level of availability to learn. As the seniority of the sports trainers increases, their tendency toward availability to learn improves significantly.

Kruskal-Wallis test is used to determine the dimensions of concern over learning ( $p_{\text{açıklık}} > 0,05$ ) and expectations from learning and availability to learn ( $p_{\text{açıklık}} \text{ ve } p_{\text{beklenti}} 0,05$ ). According to the test results, it is understood that the sports trainers whose seniorities are between 1-5 years are significantly more concerned than the trainers between seniorities of 6-10 and 11-15 years (Table 4). It can be concluded that the general concern levels of sports trainers on their early career affects their concern over learning. Kara (2010) concludes in his study that the attitude toward learning may differ significantly in individuals related to their work experience and age status. Our study shows parallelism with Kara's (2010) study findings (12). In the light of the above findings, information and communication technologies which rapidly develop, are indispensable aspects for sports trainers in education. The importance of computer aided education should be shown to all sports trainers in all grades of education in order to improve those education facilities well enough. Educators using these technologies should be asked for their opinions in order to

provide them educational technologies. As the result of this study, it is advised to organize a team by MNE, HEB and GDYS to provide education materials.

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**The European Union Water Policies and Hydropolitical Position of Turkey in  
the European Union Full Membership Process**

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**Abstract**

Water management is a multidimensional issue. Therefore, national and regional efforts are not independent from global water policies. Today, one dimension of unlimited environmental pollution is threats on underground and overground water resources. Value originated from water being a commodity is becoming an economic power. Transboundary water would become a problem for public administrations of source country and user country/countries, and international law.

Especially due to the increase of limiting effect of water in social and economic development in some regions, it will feature the national and international use policies (hydropolitics) more than today's.

As a supra-national regional organization, European Union has also involved into the water issues globally and become a party to international regulations such as Helsinki, Espoo and Aarhus Conventions which are implemented under the guidance of United Nations.

As a natural outcome of these attempts, the main law of the EU water resources management which covers strategies for both inland water and transboundary water management and draws the general frame of water policy of the EU in 2000's.

Water legislation of the EU is also important for Turkey which is a candidate country and developed only 36 percent of its water resources. Conducting accession negotiations with the EU since 2005, Turkey has been negotiating its responsibilities about water issues

under the chapter of "Environment" opened in 2009. The alignment of Water Framework Directive is one of the closing benchmark of Turkey's environment chapter.

In the case of the EU membership of Turkey which has more than 25 river basins, Maritsa (Meriç) Basin will be completely inside the boundaries of the EU, and some parts of specific basins, especially Euphrates (Fırat) and Tigris (Dicle), will be basins that reach out of the EU boundaries. This situation could lead to the emergence of a new hydropolitical conflict area for the EU in the Turkey-Syria-Iraq triangle.

*Keywords:* European Union, water policy, water framework directive, hydropolitics

## **The European Union Water Policies and Hydropolitical Position of Turkey in the European Union Full Membership Process**

Water is life. Water, which is the initiative of life, has started to lose this meaning on the face of the increasing and diversified intensive usage demands. It has become inevitable to handle water, which is intended for a great variety from human consumptions to industrial consumptions or from agricultural consumptions to energy generation, with the sustainable managerial attitude by maintaining the preserve-usage balance.

Local solutions on water management issues has become insufficient while these issues which are originated from rapid population grow, irrational usage of water, development and climate changes has gained importance globally rather than handling with the bilateral and international cooperation models. In this context, water would play a significant role in shaping the political and economic framework in 21<sup>st</sup> century.

### **Global Importance of Water Resources**

The importance of water in global scale makes sense according to the distribution and accessibility level of water resources.

As it is known, water is a natural resource which has the feature of renewability. However, in the natural cycle of water, risk factors which are arising especially from anthropogenic effects, affect the quantitative side of the water as well as its feature of renewability.

The strain which is created on the natural environment, creates obstacles in front of water accessibility both on local and global scale and considering the unfair distribution of water resources in the world, the water, the source of life for societies turns into an economic and political problem between countries.

Even though 2/3 of earth is covered with water, while salt water has the percentage of 96,5% in available water sources, the percentage of fresh water is only 2,5%. 2/3 (68,7%) of fresh water sources are in the form of glaciers or ice caps. While the remaining 30,1% is formed by ground waters, the percentage of surface water is only 0,3%. (Shiklomanov, 1993,13)

According to FAO's 2000 year statistical datas, the total water resources in the world are estimated in the order of 43.764 km<sup>3</sup>/year, distributed throughout the world according to the patchwork of climates and physiographic structures. At the continental level, America has the largest share of the world's total freshwater resources with 45.3%, followed by Asia with 28.5%, Europe with 15.2%, Africa with 9% and Ocenia 2.1%. In terms of resources per inhabitant in each continent, America has 19.823 m<sup>3</sup>/year, Europe 6.619 m<sup>3</sup>/year, Africa 3.950 m<sup>3</sup>/year and Asia 12.461 m<sup>3</sup>/year (FAO, 2003, 20). However, as it is seen in Table 1, 2013 year FAO datas shows clearly that the downward trend of freshwater resources, at the end of the last 13 years.

*Table 1. Global Water Resources Review by Continents (2000-2013)*

	Internal renewable freshwater resources			
	2000		2013	
	<i>Volume per year (km<sup>3</sup> or 10m<sup>3</sup>)</i>	<i>% of world freshwater resources</i>	<i>Volume per year (km<sup>3</sup> or 10m<sup>3</sup>)</i>	<i>% of world freshwater resources</i>
WORLD	43.764	100.0	42.921	100.0
Americas	19.823	45.3	19.655	45.8
Asia	12.461	28.5	11.865	27.6
Europe	6.619	15.2	6.578	15.3
Africa	3.950	9.0	3.931	9.2
Oceania	911	2.1	892	2.1

*Source: Aquastat, 2014*

As it is seen in Table 2, according to the data of year 2013, the total amount of the freshwater used in the world in a year is around 6.000 km<sup>3</sup>. Approximately 70% of this amount is used for irrigation, 20% of it is used for industrial purposes and 10% of it is used for domestic purposes. (UN, <http://www.unwater.org/statistics/statistics-detail/en/c/211812>)

*Table 2. Internal Renewable Freshwater Resources per capita in year 2013*

	<b>Population<sup>216</sup> (mid-2013)</b>	<b>Internal renewable freshwater resources per capita in year 2013 (m3 )<sup>217</sup></b>
<b>WORLD</b>	7.137.000.000	5.996
<b>Americas</b>	958.000.000	20.259
<b>Asia</b>	4,302.000.000	2.756
<b>Europe</b>	740.000.000	8.846
<b>Africa</b>	1.100.000.000	3.545
<b>Oceania</b>	38.000.000	29.582

*Source: Aquastat, 2014*

Nowadays, 2,6 billion people are deprived of sufficient hygiene opportunities and 884 million people don't have access to clean water. 1/6 of the world population doesn't have a reliable source to supply the daily need of 50 liters of clean water. (Pegram et.al, 2013,6).

According to The United Nations World Water Development Report 2015, by 2050, global water demand is projected to increase by 55%, mainly due to growing demands from manufacturing, thermal electricity generation and domestic use (UNESCO, 2015, 2).

<sup>216</sup> 2013 year's populations of The Continents, See Population Reference Bureau (2013); 2013 world population Data sheet, 7-12, [http://www.prb.org/pdf13/2013-population-data-sheet\\_eng.pdf](http://www.prb.org/pdf13/2013-population-data-sheet_eng.pdf)

<sup>217</sup> Aquastat (2014); [http://www.fao.org/nr/water/aquastat/tables/WorldData-IRWR\\_eng.pdf](http://www.fao.org/nr/water/aquastat/tables/WorldData-IRWR_eng.pdf)

Water demand is increasing every year with increasing population and new types of usage demands. In this context, OECD data according to expected change in water demand between years 2000 and 2050 is shown in Table 3. (Mountford, 2011)

*Table 3. Population Living under Water Stress*

	<b>Population living under water stress</b>	
	2000	2050
<b>People under no or low water stress</b>	3.2 billion	3.9 billion
<b>People under medium water stress</b>	1.3 billion	1.4 billion
<b>People under severe water stress</b>	1.6 billion	3.9 billion

*Source: OECD*

By 2030, under an average economic growth scenario and if no efficiency gains are assumed, global water requirements would grow from 4.500 billion m<sup>3</sup> today to 6.900 billion m<sup>3</sup>. This is a full 40 percent above current accessible, reliable supply (The 2030 Water Resources Group, 2009, 5).

According to United Nations 2014 year water quality statistical datas, one in nine people worldwide doesn't have access to improved sources of drinking water and one in three lacks improved sanitation. Approximately 3.5 million people die each year due to inadequate water supply, sanitation and hygiene. (UN, [http://www.unwater.org/fileadmin/user\\_upload/unwater\\_new/docs/water\\_quality.pdf](http://www.unwater.org/fileadmin/user_upload/unwater_new/docs/water_quality.pdf))

Globally, as a result of water shortage, more than three billion people will be under risk. The loss of freshwater sources as the glaciers melt will alone create water shortage for 500 million people and 37% irrigation in India. (WWF-Turkey, 2009, 26)

United Nations included the goals intended for water in the Millennium Development Goals which are predicted to be achieved until 2015. Accordingly, sub-goal of 7<sup>th</sup> goal with the title of “Ensure Environmental Sustainability is determined as *“Halve, by 2015, the proportion of the population without sustainable access to safe drinking water and basic sanitation”* (UN, [http://www.un.org/millenniumgoals/pdf/Goal\\_7\\_fs.pdf](http://www.un.org/millenniumgoals/pdf/Goal_7_fs.pdf))

The real reason of this situation, the reason for why many people’s even the most basic needs are not being met is because water is being managed with inappropriate and wrong water policies rather than water shortage.

Increasing demand and overuse of underground water because of emerging and growing economies are two main reasons that lies behind conflicts. Nonetheless, it is stated that the actual subject that inflames the water struggle is not the population growth in poor countries but it is the consumption growth in rich countries. The poor countries with fast population growth used only a little part of their irrigation potential till today. Increasing proofs on climate change indicate that the rainfall regime in the future will change seriously and it will be more unstable. (Pegram et.al, 2013,6)

Despite the renewability feature of it, both laws of the nature and human-driven threats are turning the water into a scarce source quickly. The first step of an efficient water management is to internalize the water’s importance for individuals and society by decision makers. The administrative reflex in question should provide the water to be accessible both in the sense of quality and quantity and should regard water as a “right”.

### **Water Is a Human Right**

1970s express the period in which environment has started to perceive as a right. However before or after this period, even though water isn’t clearly defined in the frame

of a human and social right, there are some attempts in this process which shouldn't be ignored.

It is expressed that right to life is an indispensable human right as *“Everyone has the right to life, liberty and security of person”* in the provision in the 3<sup>rd</sup> article of the United Nations Universal Declaration of Human Rights dated 1948. Acting from this point, even if it is not clearly expressed, in the frame of a broad comment, it is possible to associate “clean water” notion which is one of the basic elements of life, with the acknowledged right to life. (UN, <http://www.un.org/en/documents/udhr/index.shtml#a3>). As well as the human rights which is evaluated in the scope of right to life, 22<sup>nd</sup> article of the declaration also mentions the right of personal development right in economic, social and cultural areas. It is clear that personal development is possible with the concept of “a life that permits a life of dignity“ in the agreement.

Article 11 and 12 of The United Nations International Covenant on Economic, Social and Cultural Right which is opened for signature in 1966 and entered into effect in 1976, define adequate living conditions and health standards as a right and contain provisions which could be associated with water right. (UN Human Rights, <http://www.ohchr.org/Documents/ProfessionalInterest/cescr.pdf>):

*“The States Parties to the present Covenant recognize the right of everyone to an adequate standard of living for himself and his family, including adequate food, clothing and housing, and to the continuous improvement of living conditions...” (Article 11)*

*“The States Parties to the present Covenant recognize the right of everyone to the enjoyment of the highest attainable standard of physical and mental health...” (Article 12)*

When Declaration provisions (Article 1 and 2) of Stockholm Conference on the Human Environment which acknowledges environment as a right for the first time in 1972, are examined, while you can see that a clear expression such as “water is a right” is not present, it is mentioned that “the right to live in an environment of a quality that permits a life of dignity” and “the necessity of preserving water resources” and these two expressions could be associated with an approach to water right: (UNEP, <http://www.unep.org/Documents.Multilingual/Default.asp?documentid=97&articleid=1503>)

*“Man has the fundamental right to freedom, equality and adequate conditions of life, in an environment of a quality that permits a life of dignity and well-being, and he bears a solemn responsibility to protect and improve the environment for present and future generations...” (Principle 1)*

*“The natural resources of the earth, including the air, water, land, flora and fauna and especially representative samples of natural ecosystems, must be safeguarded for the benefit of present and future generations through careful planning or management, as appropriate.” (Principle 2)*

It will be to the point to mention two United Nation regulations which could be associated in the aspect of perceiving the water right as a basic human right.

The first one of them is the agreement named The Convention on the Elimination of All Forms of Discrimination Against Women which is opened for signature in December 18<sup>th</sup>, 1979 and entered into effect in September 3<sup>rd</sup>, 1981. Article 14/h of the Convention defines access to water as “an adequate life standard”. (UNICEF, <http://www.unicef.org/turkey/cedaw/gi18.html#art14>):

*“States Parties shall ensure to such women the right: ....To enjoy adequate living conditions, particularly in relation to housing, sanitation, electricity and water supply, transport and communications.”*

The second regulation that could be mentioned in the process that leads to evaluation of water as a right, is an international convention about children which is another social interest group. It is underlined that clean water is an important component in fight with diseases in article 24/c of The Convention on the Rights of the Child which is opened to signature on November 20<sup>th</sup>, 1989 and entered into effect in September 2<sup>nd</sup>, 1990. (UN Human Rights, <http://www.ohchr.org/EN/ProfessionalInterest/Pages/CRC.aspx>)

*“States Parties... shall take appropriate measures: ... (c) To combat disease and malnutrition, including within the framework of primary health care, through, inter alia, the application of readily available technology and through the provision of adequate nutritious foods and clean drinking-water, taking into consideration the dangers and risks of environmental pollution.”*

“Standard of living adequate” expression which is mentioned in article 27 of the Convention on the Rights of the Child could be associated with water right in a similar way:

*“States Parties recognize the right of every child to a standard of living adequate for the child’s physical, mental, spiritual, moral and social development.”* (UN Human Rights, <http://www.ohchr.org/EN/ProfessionalInterest/Pages/CRC.aspx>):

Similarly, article 27 mentioned above could be associated with adequate life standard notion in the article 11 of The International Covenant on Economic, Social and Cultural

Right which will serve as a ground to comment water as a right in the future (Ripley, 2011, 22)

Ecological environment is the most important area where natural resources are discussed in the frame of protection-usage balance of natural resources on international level. Even though the international efforts which are shown after year 1972, had developed awareness and effective approaches towards water policies, they don't make a direct right implication. The international efforts of UN which mention international humanitarian values such as Habitat I (1976) and Habitat II (1996), Human Settlements Conferences, Rio Conference on Environment and Development (1992), World Water Council<sup>218</sup> (1996) do not make a clear "water right" definition. Even the efforts in question are considered as a futuristic step in the recognition of water right at an international level, they are not sufficient.

As it is seen, the situation in question requires a broad comment to be associated with water right. And not being expressed clearly causes correct and effective strategies not able to be based upon international laws.

Finally this gap is filled within the frame of an initiative which is developed by United Nations in November 2002. The document which defines the water a basic human right for the first time, is the General Comment numbered 15 and dated 2002 of UN Economic, Social and Cultural Rights Committee which is formed within the scope of United Nations International Covenant on Economic, Social and Cultural Rights in 1966

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<sup>218</sup> World Water Council, formed under UN in 1966, is an international organization in which there are 360 active members from 60 countries. Among its members there are public and private institutions, UN institutions and non governmental organizations. It has a fundamental mission of defining problem areas about international water policies, establishing strategies and information, and developing action plans. See more details, <http://www.worldwatercouncil.org>

(UN Refugee Agency, <http://www.unhcr.org/49d095742.html>). A short while before this meeting on the dates of August 26<sup>th</sup> and September 4<sup>th</sup> 2002, in the Declaration of the World Summit on Sustainable Development which was held in Johannesburg, use of “water right” expression (UN, 2002, 30) could be considered as clue related to decision in question.

As it is also mentioned above, the insufficiency about the definition of right in the previous international regulations, forced the Committee to shape it by commenting on the point of view of the International Covenant on Economic Social and Cultural Rights on water.

The content related to the Committee’s the General Comment numbered 15 on the Covenant in question could be shortly summarized as in the following. (UN Refugee Agency, <http://www.unhcr.org/49d095742.html>):

The committee has commented the water right by relating to Articles 11 and 12 of the International Covenant on Economic, Social and Cultural Rights. Accordingly, the elements of water right “should be adequate to human dignity, life and health”. In this context the complementary elements of the water right are expressed as “Availability”, “Quality” and “Accessibility”. These 3 elements are defined as in the following (UN Refugee Agency, <http://www.unhcr.org/49d095742.html>):

*“Availability: The water supply for each person must be sufficient and continuous for personal and domestic uses.*

*Quality: The water required for each personal or domestic use must be safe, therefore free from micro-organisms, chemical substances and radiological hazards*

*that constitute a threat to a person's health. Furthermore, water should be of an acceptable colour, odour and taste for each personal or domestic use.*

***Accessibility:** Water and water facilities and services have to be accessible to everyone without discrimination, within the jurisdiction of the State party."*

According to the Committee's General Comment numbered 15, there are four dimensions to Accessibility which all intersect with each other. These are Physical accessibility, Economic accessibility, Non-discrimination and Information accessibility.

***Physical accessibility:** water, and adequate water facilities and services, must be within safe physical reach for all sections of the population. Sufficient, safe and acceptable water must be accessible within, or in the immediate vicinity, of each household, educational institution and workplace. All water facilities and services must be of sufficient quality, culturally appropriate and sensitive to gender, lifecycle and privacy requirements. Physical security should not be threatened during access to water facilities and services;*

***Economic accessibility:** Water, and water facilities and services, must be affordable for all. The direct and indirect costs and charges associated with securing water must be affordable, and must not compromise or threaten the realization of other Covenant rights;*

***Non-discrimination:** Water and water facilities and services must be accessible to all, including the most vulnerable or marginalized sections of the population, in law and in fact, without discrimination on any of the prohibited grounds;*

***Information accessibility:** accessibility includes the right to seek, receive and impart information concerning water issues."*

Within the frame of the comment that Committee made on the covenant; race, color, gender, age, language, religion, political or another idea, national or social origin, property, birth, physical or mental disability, health issues (including HIV/AIDS), sexual preference, civil, political and all the discrimination made according to other status is forbidden to provide equal accessibility to water.

While the agreement regulates the fight against discrimination in access to water, it also underlines the necessity of the applications towards positive discrimination. Even though the water right is a right which is in effect for everyone, special attention should be paid to people and groups which faces difficulties such as States parties, women, children, minorities, natives, immigrants, refugees, displaced people, convicts and prisoners.

The agreement has defined some obligations to State parties to exercise water right in the exact meaning with the comment. Acting in the fastest and the most effective way possible is an unchanging and permanent obligation that should be fulfilled by States parties in the scope of the Agreement.

Also there are special obligations laid on State parties. According to this, water right put State Parties under 3 obligations as well as all other human rights. These are obligations to respect, obligations to protect and obligations to fulfil.

According to General Comment No:15;

*“The obligation to respect requires that States parties refrain from interfering directly or indirectly with the enjoyment of the right to water.*

*The obligation to protect requires State parties to prevent third parties from interfering in any way with the enjoyment of the right to water.*

*The obligation to fulfil can be disaggregated into the obligations to facilitate, promote and provide.”*

After the General Comment numbered 15 of UN Economic Social and Cultural Rights Committee, another significant development at approaching water as a basic human right took place under the leadership of United Nations again. United Nations General Assembly identified water and healthcare services as a human right with the decision numbered A/RES/64/292 on June 2010. While 122 countries voted for the approval of the decision, 41 countries including United States of America, Sweden, Israel, Japan, United Kingdom and Turkey abstained from a vote (UN, <http://www.un.org/press/en/2010/ga10967.doc.htm>). Even this ruling is important to root water right notion, in the aspect of making water right binding for countries, it is necessary to make an agreement and guarantee it essentially.

### **European Union Water Policy**

Especially with the starting of 1970s, European Union didn't remain neutral on the environmental protection approaches which gained importance in international scale and with Environmental Action Programmes they started since 1973, it supported states parties' efforts towards adjustments in national environmental policies. With The Single European Act entered into force in 1987, for the first time, “environment” title is added to Treaty of Rome which founded European Economic Community and it laid base to the environmental policies of European Union. With Treaty of European Union (Maastricht) which entered into effect in 1993, environment is acknowledged as a community goal.

The Water is one of the important components of environmental policy. The EU has more than 100.000 surface water bodies (80% of them are rivers, 15% lakes and 5% coastal

and transitional waters). The EU and the Member States have divided the river basins and associated coastal areas into 110 river basin districts, 40 of which are international and cross borders, covering about 60 % of EU territory. (European Commission, 2014, 2 )

In this context, the topic of water is in the primary study field of European Union since 1970s. Up until today, even though many directives are released related to water, partial regulations which were not able to create a basic point of view created a need to form an integrated strategy.

The development process of European Union's water policy is evaluated through "three waves".

- First development wave (1975-1980)
- Second development wave (1980-1995)
- Third development wave (1995-today)

First wave involves the period between year 1975 in which the standards are determined related to rivers and lakes used for drinking water purposes and year 1980 in which quality standards related to drinking water are determined. It also included quality objective legislation on fish waters, shellfish waters, bathing waters and groundwaters. In this period, the primary regulation related to pollution control is the Dangerous Substances Directive (European Commission, [http://ec.europa.eu/environment/water/water-framework/info/intro\\_en.htm](http://ec.europa.eu/environment/water/water-framework/info/intro_en.htm)).

In the second wave, the need for a community regulations is mentioned which comprises ecological quality in the final decisions of a ministerial seminar about the Community water policy held in Frankfurt in 1988. The EU addressed significant point-source and diffuse chemical and other pollution in the aquatic environment by passing

several pieces of legislation, including the Urban Waste Water Treatment (UWWTD),<sup>219</sup> Nitrates (ND),<sup>220</sup> Plant Protection Products (PPP)<sup>221</sup> and Industrial Emissions Directives (IPPC-IED).<sup>222</sup> These Directives protect water resources from pollution from nutrients and/or other chemicals from agriculture, households and industry. Although implementation of these Directives has progressed significantly, full compliance has not been reached, and this prevents achievement of their environmental objectives. Diffuse and point-source pollution are still significant pressures on the water environment in, respectively, about 38 % and 22 % of EU water bodies (European Commission, 2012, 7-8).

In the latter period, it would be appropriate to mention some Council of Europe decisions which were effective in forming water policies of European Union. For example, The Council made a call to prevent corruption of water quality and quantity in the long term and a course of action to be implemented until year 2000 in the result document of the ministerial seminar on groundwater held at the Hague in 1991. A similar course of action call is made as a complementary element related to preserving underground waters in the decisions of the Council in years 1992 and 1995. Also revision of the Council Directive numbered 80/68/EEC and dated 1979 on precautions against underground water pollution arising from dangerous substances is suggested. Based on all these developments, in direction of a decision taken by the Council of Europe in 1999, it is demanded from the

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<sup>219</sup> Council Directive 91/271/EEC concerning urban waste-water treatment. OJ L135, 30.5.91.

<sup>220</sup> Council Directive 91/676/EEC concerning the protection of waters against pollution caused by nitrates from agricultural sources. OJ L375, 31.12.91.

<sup>221</sup> Council Directive 91/414/EEC concerning the placing of plant protection products on the market, OJ L 230, 19.8.1991, repealed by Regulation (EC) No 1107/2009 of the European Parliament and of the Council, OJ L309, 24.11.2009.

<sup>222</sup> Directive 2008/1/EC of the European Parliament and of the Council concerning integrated pollution prevention and control. OJ L28, 29.1.2008 to be replaced by Directive 2010/75/EU of the European Parliament and of the Council on industrial emissions, OJ L 334, 17.12.2010.

Commission to make a legislation proposal related to improve the ecological quality in Community surface waters. (Official Journal of the European Communities, 2000, 1)

The third wave that expresses the process from 1995 till today is a “re-think” period which aims an executive transformation related to the European Union water policy. In this period, instead of dispersed regulations, it is aimed to form an integrated water management policy by uniting them under the same roof. The studies started in this field continued from middle of 1995 to year 2000. The Committee of the Regions, the European Economic and Social Committee, the European Parliament and especially the Council of Europe demanded European Commission to prepare a proposal for a Council Directive which will form a frame for Europe water policy.

In direction of this demand, the European Commission featured the following key elements in the proposal it prepared. (European Commission, [http://ec.europa.eu/environment/water/water-framework/info/intro\\_en.htm](http://ec.europa.eu/environment/water/water-framework/info/intro_en.htm)):

- expanding the scope of water protection to all waters, surface waters and groundwater
- achieving "good status" for all waters by a set deadline
- water management based on river basins
- “combined approach” of emission limit values and quality standards
- getting the prices right
- getting the citizen involved more closely
- streamlining legislation

With the acknowledgement of the goals in question on the level of the Union, the European Union Water Framework Directive (WFD) entered into effect on 22 October 2000.

### **European Union Water Framework Directive (WFD)**

The Water Framework Directive (WFD) which is the most concrete output of new transformation had aimed to develop a holistic point of view to preserve surface waters, transitional waters, coastal waters and groundwater by uniting all the dispersed approaches in other directives outdate itself.

The WFD is complemented by other, more specific, EU laws (European Commission, 2014b):

- The Environmental Quality Standards Directive (2008)
- The Marine Strategy Framework Directive (2008)
- The Floods Directive (2007)
- The Groundwater Directive (2006)
- The Bathing Water Directive (2006)
- The Drinking Water Directive (1998)
- The Urban Wastewater Directive (1991)
- The Nitrates Directive (1991)

The Water Framework Directive is built on four main objectives:

1. Coordinated action to achieve “good status” for all EU waters, including surface and groundwater, by 2015.
2. Setting up a water-management system based on natural river basin districts, crossing regional and national boundaries.

3. Integrated water management, bringing different water management issues into one framework.

4. Active involvement of interested parties and consultation of the public (Gammeltoft, 2012)

The European Union Water Framework Directive takes its base on the idea that “water is not a commercial product but a public resource which should be protected and defended”.

With a general overview, new innovations that the WFD brought to the EU water policy can be summarized as follows (Bilen, 2008, 138-141):

- An old concept that classify waters, according to purpose and envisages separate regulations for each was abandoned, all the water was considered as a whole and aims to remove the old regulations until 2015.
- Water management formed according to the administrative boundaries in some European countries, the new Directive mainly takes account the basin borders in water management.
- Two methods are used to control the water pollution (water quality of the receiving environment and waste water emissions) are combined.
- Water allocation has been adopted as a means for environmental needs.
- The determination of water prices, all cost factors including environmental costs will be taken into account (full-cost pricing)
- Participatory approach is expanded, providing public's access to information and the establishment of an effective consultative mechanism are aimed.

The WFD adopts protecting and improving terrestrial ecosystems and wetlands which are directly dependent to water ecosystems as a principle instead of water ecosystems only in its first article where it expresses its purposes. Besides, it underlines the necessary amount for the sustainable, balanced and equal use of ground and surface waters and aiming good quality water. Also the directive which aims to prevent pollution arising from dangerous substances and decreasing it incrementally, incites to fulfill the obligations of related international agreements.

The WFD defines the water under natural conditions with the least human influence as “high status” waters. The waters in the regions under similar conditions geographically, climatically and geologically but under human influence are classified as “good”, “moderate”, “poor” and “bad” according to the deviance level from conditions used as a baseline. In mentioned classification, in addition to changes in physical and chemical qualities of the water and the flow rate, depth and amount features as a result of human influence, the elements related to the biological diversity should also be considered.

The environmental goal of the WFD is to make the underground and overground water within the boundaries of the EU to "good status" level until December, 2015. In this point of view, Directive classifies the water as "high status", "good status", "moderate status”, “poor status” and “bad status ". (See Table 4).

*Table 4. Water Status (WFD)*

<b>Element</b>	<b>High status</b>	<b>Good status</b>	<b>Moderate status</b>	<b>Poor or Bad Status</b>
	There are no, or only very minor, anthropogenic alterations to the	The values of the biological quality elements	The values of the biological quality elements	Waters achieving a status below moderate

<p>General</p>	<p>values of the physico-chemical and hydromorphological quality elements for the surface water body type from those normally associated with that type under undisturbed conditions.</p> <p>The values of the biological quality elements for the surface water body reflect those normally associated with that type under undisturbed conditions, and show no, or only very minor, evidence of distortion. These are the type-specific conditions and communities.</p>	<p>for the surface water body type show low levels of distortion resulting from human activity, but deviate only slightly from those normally associated with the surface water body type under undisturbed conditions.</p>	<p>for the surface water body type deviate moderately from those normally associated with the surface water body type under undisturbed conditions.</p> <p>The values show moderate signs of distortion resulting from human activity and are significantly more disturbed than under conditions of good status.</p>	<p>shall be classified as poor or bad.</p>
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*Source: Official Journal of the European Communities, 2000, 37.*

Different “good status” definitions are given for surface waters and ground waters in the WFD. “Good status” for surface waters is estimated according to ecological and chemical features of the water and it is estimated according to quantitative and chemical features for ground waters.

According to article 2 of the WFD,

*“Good surface water status’ means the status achieved by a surface water body when both its ecological status and its chemical status are at least good”.*

*“Good groundwater status’ means the status achieved by a groundwater body when both its quantitative status and its chemical status are at least good.”*

The estimated deadlines to achieve environmental goals in article 4 of the WFD could be prolonged on condition that there are no advanced deterioration in the status of affected water resources and giving reasonable reasons. In the scope of reasonable reasons, being able to fulfill the technical improvements in the demanded size only in the amount of time that exceeds given time, is considered as fulfilling improvements in given time causes high costs and natural conditions don't permit the improvement in the given time in the status of the water resource. However the extensions in this period are limited revision of river basin management plan for a maximum of two times except the times where natural conditions prevents to fulfill purposes. And this indicates extensions could only be until year 2027 at the latest.

One of the fundamental approaches that the Directive based upon is to manage the water with the understanding of "integrated river basin management". Considering that the river basins are a geographic and hydrological whole, it is foreseen that transboundary basin plans potentially should be prepared with the cooperation of bordering countries.

The WFD which indicates that water resources cannot be dealt fragmentary and underlines the necessity of an integrated administrative approach through "river basins" in this aspect, serves the idea of aquatic ecosystems could only be managed with administrative models independent from political and administrative borders. It is clearly seen that cross border cooperation principle is adopted in the basin areas which are drawn according to geographical conditions and independent from political borders. Accordingly member states will determine their personal river basins in their national borders and they will form appropriate administrative authorities related to management of regions in question until year 2003 as required by article 3 of the WFD. Also pursuant to article 5,

member states are under obligation to complete the determination studies related to features of river basin area, reviewing environmental effects of human activities and economical analyze of water use.

“River basin management” approach includes the “international basin” model which will be in question for management of water resources in the borders of more than one countries as well as national basins and it also aims the management of “transboundary waters” According to this, Member States shall ensure that a river basin covering the territory of more than one Member state is assigned to an international river basin district. Related member states will provide this coordination together for the international river basin districts. The WFD contains provisions which are needed to be executed without distinction between national waters and transboundary waters and the goals which are set for national waters are exactly the same for the transboundary basins in member states.

The WFD does not only contain the basins include state parties, it also contains the river basins reach out to the borders of the Union. In case of a river basin reaches out of the borders of Union borders, related Member state or Member States will show effort to provide necessary coordination in whole river basin district with related non-Member states. Member States will ensure that these directive rules are being applied in their borders.

In case of arise of a problem which can't be solved in the degree of Member state in the Article 12 of the WFD, the opportunity of notification and suggestion demand is designated. Accordingly a member state which faces with a problem that has an effect on the management of its own waters, will be able to notify the matter to the European

Commission and other related Member States and make suggestion about the resolution of the problem.

In the article 13 of the WFD, the essentials of “river basin management plans” to be prepared related to basins in the national borders, international basins in the European Union borders and international basins which reach out of the Union borders are determined.

*Basins in the national borders:* Member states will prepare a river basin management plan for a river basin district which is completely in their borders.

*International basins which are completely in the borders of the Union:* First of all the purpose is to provide coordination between related member states with the purpose of preparing a single international river basin management plan. In case of not preparing a single international river basin management plan, Member States will prepare a river basin management plan in accordance with the directive for the part of the river basin districts in their own land.

*A river basin which exceeds the borders of the Union:* Priority should be to show effort to prepare a single river basin management plan by related states. In case it is not possible to prepare a single plan, the plan to be prepared at least should include the part of the international river basin district that is in the land of the related member state.

As it is seen, an important side of the river basin management approach is to organize water management in a different way. The borders of river basin usually don't coincide with administrative borders. Besides, authorities related to water management is divided between many organizations. So this requires an improved cooperation mechanism

between administrative and organizational borders and organizations related to water management.

It is estimated that member states will complete their river basin management plans until year 2009. The plans will cover a period of six years and they will be revised 3 times until 2027 after being reviewed every six years.

Pursuant to article 8 of the WFD, member states will prepare programs with the purpose of monitoring the quality of the water.

One of the essential principals which is included in article 9 of the Water Framework Directive is “polluter pays principle” which is acknowledged as one of the environmental policy principles of European Union with The Single European Act in 1987. (Grossman, 2007, 1). The expenses made for water services should be determined to serve the fair pricing of the water. In the introduction part of the directive, while it is expressed that water is not a commercial product, water services should be charged to cover costs and for sustainable use.

One of the important practice instruments is “measures program” which is regulated in article 11 and set forth by the WFD. Every member state is obligated to prepare a measures program for every river basin district or the part of the international river basin district in their land.

The subject of participation is one of the most important topics that the Water Framework Directive underlines. According to article 14 of the directive, member states will encourage all related parties actively especially the public, for to apply this directive and especially about preparing river basin management program, reviewing and updating it. Also it will be the responsibility of member states to announce all kinds of document

presented in the process of preparing river basin plan, to consult the public and related parties about the processes and providing access to the public to reach all kinds of information and document used to develop the plan.

European Commission explains the 2 main reasons of public participation which are underlined at the WFD as in the following.

(European Commission; [http://ec.europa.eu/environment/water/water-framework/info/intro\\_en.htm](http://ec.europa.eu/environment/water/water-framework/info/intro_en.htm)):

*“There are two main reasons for an extension of public participation. The first is that the decisions on the most appropriate measures to achieve the objectives in the river basin management plan will involve balancing the interests of various groups. The economic analysis requirement is intended to provide a rational basis for this, but it is essential that the process is open to the scrutiny of those who will be affected.*

*The second reason concerns enforceability. The greater the transparency in the establishment of objectives, the imposition of measures, and the reporting of standards, the greater the care Member States will take to implement the legislation in good faith, and the greater the power of the citizens to influence the direction of environmental protection, whether through consultation or, if disagreement persists, through the complaints procedures and the courts.”*

The member states have to harmonize every adopted Council of Europe Directive with their national regulations. In this context, pursuant to article 23 of the Water Framework Directive, it is laid down as a condition to adapt it to their national law by member states until year 2003 at the latest.

Water Framework Directive had suggested a timetable related to the actions the member states need to take to protect and improve water ecosystems until certain dates.

(European Commission, [http://ec.europa.eu/environment/water/water-framework/info/timetable\\_en.htm](http://ec.europa.eu/environment/water/water-framework/info/timetable_en.htm)):

*Table 5. Timetable for Implementation of the WFD*

Year	Issue	Reference
<b>2000</b>	Directive entered into force	Art.25
<b>2003</b>	Transposition in national legislation Identification of River Basin Districts and Authorities	Art.23 Art. 3
<b>2004</b>	Characterisation of river basin: pressures, impacts and economic analysis	Art. 5
<b>2006</b>	Establishment of monitoring network Start public consultation (at the latest)	Art. 8 Art. 14
<b>2008</b>	Present draft river basin management plan	Art. 13
<b>2009</b>	Finalise river basin management plan including programme of measures	Art.13 & 11
<b>2010</b>	Introduce pricing policies	Art. 9
<b>2012</b>	Make operational programmes of measures	Art. 11
<b>2015</b>	Meet environmental objectives First management cycle ends Second river basin management plan & first flood risk management plan.	Art. 4
<b>2021</b>	Second management cycle ends (1st period+6 years)	Art. 4 & 13
<b>2027</b>	Third management cycle ends (2nd period+6 years) Final deadline for meeting objectives	Art. 4 & 13

## INTERNATIONAL REFERENCES OF EUROPEAN WATER

### FRAMEWORK DIRECTIVE

Referring to various conventions in the prologue which both the Community and member states are parties, the WFD expressed that directive will make a contribution to

Community and member states to fulfill obligations of the convention in a more effective way.

It is seen that the first three of the international conventions mentioned in Table 6 are regional. The Convention on the Protection and Use of Transboundary Water Courses and International Lakes which is referred as Helsinki Convention shortly and formed by UN Economic Commission of Europe is the only binding agreement that is referred directly in the WFD for members of the Community and all other states. The Convention entered into effect in October 6<sup>th</sup>, 1996 has 26 signatories and 40 parties as of the date of March 2015. By acting from the thought of the use of water could have effects crossing the borders, the WFD clearly expressed that it will contribute to apply the obligations that arise from UN Helsinki Convention. It is believed that it is necessary to form transboundary cooperation in parties of two or more to provide fair and sensible use of transboundary waters between state parties, to eliminate and prevent the transboundary effect of the pollution or to minimize it. The community will be looking for solutions based on Helsinki Convention in international conflicts. According to the convention, as well as riparian parties could look for appropriate solution by themselves in disputes, they could demand arbitration from the Economic Commission of Europe or choose to apply the International Court of Justice. But the Convention doesn't give the right to riparian parties to apply the International Court of Justice unilaterally. (UNECE,

<http://www.unece.org/fileadmin/DAM/env/water/pdf/watercon.pdf>)

*Table 6. International References of the WFD*

<b>International Conventions</b>	<b>Signature</b>	<b>Approval</b>

<p>The Convention on the Protection of the Marine Environment of the Baltic Sea Area</p>	<p>9 April 1992-Helsinki'</p>	<p>Council Decision 94/157/EC</p>
<p>The Convention for the Protection of the Marine Environment of the North-East Atlantic</p>	<p>22 September 1992-Paris</p>	<p>Council Decision 98/249/EC</p>
<p>The Convention for the Protection of the Mediterranean Sea Against Pollution and its Protocol for the Protection of the Mediterranean Sea Against Pollution from Land-Based Sources</p>	<p>16 February 1976- Barcelona  17 May 1980 - Athens</p>	<p>Council Decision 77/585/EEC  Council Decision 83/101/EEC</p>
<p>The Convention on the Protection and Use of Transboundary Water Courses and International Lakes</p>	<p>17 March 1992 - Helsinki</p>	<p>Council Decision 95/308/EC</p>

In addition to aforementioned international conventions, it would be meaningful to mention two of the WFD's regulations for United Nations, which are considered as they have made contributions to foreseen application within borders and outside the borders of the community: Espoo and Aarhus Conventions.

The Convention on Environmental Impact Assessment in a Transboundary Context, which is shortly called as the Espoo Convention due to the fact that it was opened for signature in Espoo city of Finland on the date of 26<sup>th</sup> February 1991, took effect on the date of 10<sup>th</sup> September 1997. The European Union became a party for the Convention on the date of 27<sup>th</sup> June 1997.

By the March of 2015, there are 30 signatories and 45 parties of the Convention. The Espoo Convention and its "Kiev Strategic Environmental Assessment (SEA) Protocol" dated 2003 (Kouriova, 2011, 13) regulate issues related with the requirement of environmental assessment and cooperation together with the precautions and efforts for reduction of the transnational environmental damages for the state parties.

In the Annex No.1 of the Espoo Convention, there are 22 activity descriptions that can cause to transnational effects. Crude oil refineries; Thermal power stations; Nuclear power stations; integrated chemical installations; roads; pipelines for the transport of oil, gas or chemicals; waste-disposal installations; large dams and reservoirs; groundwater abstraction activities; major quarries, mines; offshore hydrocarbon production; major storage facilities for petroleum, petrochemical and chemical products; deforestation of large areas; waste-water treatment plants; electrical power lines; wind farms etc. (UNECE, [http://www.unece.org/env/eia/about/eia\\_text.html#appendix1](http://www.unece.org/env/eia/about/eia_text.html#appendix1))

The activities regarding water among those 22 are the following:

“Works for the transfer of water resources between river basins where this transfer aims at preventing possible shortages of water and where the amount of water transferred exceeds 100 million cubic metres/year; and (b) In all other cases, works for the transfer of water resources between river basins where the multi-annual average flow of the basin of abstraction exceeds 2 000 million cubic metres/year and where the amount of water transferred exceeds 5 per cent of this flow. In both cases transfers of piped drinking water are excluded.” (UNECE, [http://www.unece.org/env/eia/about/eia\\_text.html#appendix1](http://www.unece.org/env/eia/about/eia_text.html#appendix1))

The Espoo Convention gives the obligation of informing the states, which will be affected by negative transnational environmental, to the state, which will carry out the activity that will possibly create those effects about the relevant activities (Toprak, <http://kisi.deu.edu.tr/zerrin.toprak>). Within the given time, the affected party will answer whether they will participate to the environmental impact assessment work, and if they want to participate in the process, “Environmental Impact Assessment (EIA) Report” will mutually be prepared (UNECE, [http://www.unece.org/env/eia/about/eia\\_text.html#article8](http://www.unece.org/env/eia/about/eia_text.html#article8)).

The other relevant convention is UN Convention on the Law Non-Navigational Uses of International Watercourses. The convention’s aim is to create a comprehensive international regime for transboundary waters. The 1997 Convention entered into force on August 17, 2014. But it does not present a solution to the most conflictual basins in the world. There is no consensus on this convention in the transboundary river basins such as Euphrates-Tigris (Aktaş, 2011, 19).

The Convention on Access to Information, Public Participation in Decision-Making and Access to Justice in Environmental Matters, which was opened to signature in Aarhus

city of Denmark on the date of 25<sup>th</sup> June 1998, took effect on the date of 30<sup>th</sup> October 2001. European Union became a party for the Convention on the date of 17<sup>th</sup> February 2005. By the March 2015, there are 39 signatories and 47 parties of the Convention.

The Aarhus Convention, as it can also be understood from its title, are settled upon three important bases. This trinity of the structure is expressed as “three pillars” of the Convention in literature (Delreux, 2009:329). These are :

- Public access to information about the environment
- Public participation in certain environmentally relevant decisions
- Access to courts of law / tribunals in environmental matters

On the 9<sup>th</sup> subsection of 3<sup>rd</sup> article of the Aarhus Convention, it is ensured that everybody has rights for accessing to information on environmental matters, participation opportunity to the decision making process and resorting to jurisdiction without making any discriminations of citizenship, nationality and residence location. The Convention, which also defines the limitations related with information share, encourages parties for producing information, keeping it updated, protecting and sharing of the information with its clauses. Member states, which have the obligation of encouraging and providing participation of community to decision-making mechanisms regarding all kinds of environmental issues, also own the damage liabilities as a result of the judicial processes in case that they prevent the utilization of information access and participation rights. So Aarhus Convention is complementary element of environmental and urban rights (Toprak, 2012,298).

When taken into a general consideration, Helsinki, Espoo, Aarhus Conventions and the WFD have many concurrent features such as participation, briefing, dual and multi-directional cooperation, protection and taking precautions.

### **Current Situation of the Efforts Related with the WFD**

The WFD, which holds a scope that can be qualified as the Water Statue of the European Union related with the water sources management, is an issue of debate between European Union member states both for some of the required principal approaches and for keeping away from the foreseen schedule objectives.

The quality and amount management are two major and complementary issues for water sources development. Within the Directive, “protection of the ecosystems” is taken as the basis of these two subjects, and important role of water for socio-economic development is thrown out of focus (Bilen,

<http://www.euractiv.com.tr/enerji/analyze/avrupa-birliginin-su-politikalarinin-hidropolitik-degerlendirmesi>).

No matter, the WFD foresees the protection and development of water in terms of both quality and amount with the provisions it brings, as water utilization is commented as a risk factor that affects the water quality negatively, member states think that quality has a more privileged position when compared with quantity within the general directive.

Especially, the Southern Europe countries under the influence of Mediterranean climate such as Spain, France, Portugal, Italy and Greece feel the concerns regarding the amount of water sources much more. Constructions that will hold water, especially dams are needed. However, the Directive defines dams as “heavily modified water body” with

the expression used an comments that it is a factor that harms the water quality in a large scale as a result of the physical changes made by human activity.

As it is understood, the Southern people of the Europe, who cares for the amount of the water, sees the management of water sources as a tool that gives direction to infrastructure and development policies more than a matter of environment (Bilen, i.b.i.d.).

Table 7. shows the number of registered dams found on member countries of European Union.

*Table 7. Number of Dams by European Union Members (ICOLD)*

Country	Numbers	Country	Numbers	Country	Numbers
<b>Spain</b>	1.082	Greece	164	Netherlands	12
<b>France</b>	713	Czech Republic	118	Denmark	10
<b>United Kingdom</b>	607	Poland	69	Latvia	3
<b>Italy</b>	542	Cyprus	57	Luxembourg	3
<b>Germany</b>	308	Finland	56		
<b>Romania</b>	246	Slovakia	50		
<b>Portugal</b>	217	Slovenia	41		
<b>Sweden</b>	190	Croatia	29		
<b>Bulgaria</b>	181	Ireland	16		
<b>Austria</b>	171	Belgium	15		

*Source: ICOLD 2015*

By March 2015, 24 EU countries, who are members of ICOLD, hold a total number of 4900 dams. Spain hold the top place among the members with 1082 dams, while its worldwide position is the 9<sup>th</sup> place<sup>223</sup>. The total number of dams in Spain, France, Portugal, Italy and Greece are 2718 and the number of dams, which are owned only by these 5 countries, is equal to the 55% of total number of European Union dams.

<sup>223</sup> First 8 place in the world: China, 23.842; United States of America, 9.265; India, 5.102; Japan, 3.116; Brazil, 1.392; Korea (Rep. of), 1.305; Canada, 1.166; South Africa, 1.114

As the year is 2015, there is an assessment within the report of the European Commission dated 9<sup>th</sup> March 2015 related with the realization of the WFD targets of the European Union members:

*“The 2012 ‘fitness check’ of EU freshwater policy has confirmed that the current water policy framework addresses the challenges faced by European freshwaters. However, we still have a long way to go before the quality of all EU waters is good enough, due to decades of previous degradation and persisting ineffective management: the 2012 Commission “Blueprint to safeguard Europe’s Water Resources” found that about half of EU surface waters are unlikely to reach a good ecological status in 2015. Moreover, gaps in monitoring the chemical status of surface waters were so significant that in 2012 the status of over 40% of water bodies was unknown and it was impossible to establish a baseline. The picture seems to be more positive for groundwater, but problems in some basins are still severe”. (European Commission, 2015, 3)*

In addition to that, even though there are setbacks related with the target of bringing all EU waters to “good status” until the year 2015, all of the European Union countries except Spain and Greece have harmonized their river basin management plans with the WFD provisions. Spain has harmonized 18 of its 25 basins with river basin management plan, and Greece has completed harmonization for 12 out of its 14 basins (European Commission, [http://ec.europa.eu/environment/water/participation/map\\_mc/map.htm](http://ec.europa.eu/environment/water/participation/map_mc/map.htm))

In order to improve the WFD implementation, a follow-up study "Blueprint" has been carried out and published a document. Priority problem areas in the document are (Pochon, 2015):

1. Lack of water pricing

2. Lack of Measurement
3. The lack of labeling of the trading products
4. Land use / Agriculture effect
5. Inadequate facilities / equipment
6. Add water infrastructure (leakage)
7. Lack of reuse water
8. Governance
9. Goal setting
10. Drought management
11. Understanding the Costs and Benefits
12. Add the database

In the 2009-2015 period, the developments and expectations about “good status” goal are shown in Table 8 (European Commission, 2012, 6):

*Table 8. Water bodies in Good Status in 2009 and 2015: What Progress Expected*

	<b>Number of Member States</b>	<b>Number of Water Bodies</b>	<b>% Water Bodies in Good Status or Potential 2009</b>	<b>% Water Bodies in Good Status or Potential 2015 (%)</b>	<b>Progress 2009-2015 in %</b>
<b>Ecological Status of Surface Waters-</b>	21	82684	43	53	10
<b>Chemical Status of Surface Waters</b>	Information unclear to establish the 2009 baseline				
<b>Quantitative Status of Ground Water</b>	24	5197	85	92	7

<b>Chemical Status of Ground Water</b>	24	5197	68	77	9
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*Source: European Commission, 2012*

Floods accounted for 40% of total economic damages in Europe in 1989-2008 (European Commission, 2014b) The Flood Directive (FD) which entered into effect in 2007 to complete the WFD because of increasing floods that arise from climate changes in Europe in the recent period, aims that all members will generate flood risk management plans which include flood risk maps and engage it to their river basin management plans until end of 2015. (European Commission, 2014a, 6) The process is in progress.

If we have to summarize the results from the latest report of EuroBarometer, which is the official research company of European Union, dated 2012 and related with the WFD, the following can be told (Flash Eurobarometer, 2012, 6-16):

- The average ratio of Europeans, who thinks that they are briefed at an adequate level about the problems related with ground waters, rivers, lakes and coast waters is 37% while the ones who think that they aren't briefed at an adequate level is 62%. Only 1% don't have an opinion on this matter. On top of the countries, which think that they are briefed at an adequate level, comes Denmark with a ratio of 62% and Denmark is followed by Austria (60%) and Slovakia (57%). The countries, which are briefed in the least adequate level are Latvia (16%), Lithuania and Estonia (20%).

- Romania comes at the top of the countries with a ratio of 94% among the countries who think that there are serious problems with the quality of water in their countries, while it is followed by Italy (91%) and France (89%). The top countries, which state that they don't face serious problems related with the quality of water, are Latvia (39%) and Austria

(40%). The EU average ratio of 68% for inspection of serious problems regarding the quality of water is a very high ratio.

- The EU average ratio for evaluation of a negative direction for the water quality in their countries within the last 10 years is 44%, while the ratio of the ones who emphasize on a positive change is 23%. The ones, who think that nothing has change, have a ratio of 25%. The country, which emphasize most for a positive change, is Netherlands (46%) while the ones, which made the least emphasize on that issue, are Romania and Bulgaria with a ratio of 5%.

- Each 8 out of 10 Europeans see chemical pollution as the biggest threat against water ecosystems, while climate change comes on the second line with a ratio of 55%.

- Each 6 out of 10 Europeans believe that the cost related with water services should be reflected on the ones who use water.

In this part of the article, the hydro-politic reflections for the work of harmonization between the WFD and national policies of Turkey, which is going through full membership process of European Union as a candidate country, related with water policies will be evaluated.

### **The Criticism About the WFD**

The basic approaches which are brought with the WFD, became and continue to be a discussion subject during the implementation process. The criticisms on the Directive could be summarized shortly as in the following (Bilen, 2008, 154-165):

1. *Pricing of the water*: Reflecting the costs of investments to improve all waters to “good” quality, business and maintenance costs and environmental costs on water receipts commodify water rather than protecting it. Thus, the control of water

- resources has been transferred from the public sector to the private sector (Görmez et al., 2012, 730).
2. *Quality-Quantity Dilemma*: Quantity control of the water is a supporting element to preserve good water quality and directive cares about the quality of the water rather than its quantity.
  3. *Enforcement uncertainty*: The goal to decrease and zero the dangerous substance emissions in 20 years perceived as a suggestion and does not enforce member states actually.
  4. *Time Problem*: The implementation schedule is too tight and challenging, when heavy investment burdens are also considered, it is clear that especially member states which are in low income group would have a hard time to reach the estimated goals until year 2015

### **Hydro-Politic Situation of Turkey Through European Union Full Membership Process**

“Hydro-politics” is a new interdisciplinary science field that observes political and legal problems created by artificial or natural, underground and above ground water sources, which has its basin within borders of more than one country, together with technical aspects of such problems, and that looks for solutions to these problems in a legal framework. Hydro-politics terms was used for the first time by John Waterbury on 1979 in the book of “Hydro-politics of Nile Valley” (Hidropolitik Akademi, <http://www.hidropolitikakademi.org/tr/hidropolitik>)

Hydro-politics approaches of Turkey regarding water will gain a very different meaning within the possible membership framework of Turkey for the European Union in

the future. In this framework, it would be beneficial to summarize the process spent within the triangle of “European Union-Turkey-Water”.

### **Water Policy of Turkey**

The water policy of Turkey could be defined with goals such as increasing agricultural production and provide food safety, meeting the increasing need for drinking water in industrial, city and country side areas, to stop depending on imported sources of energy, resolving regional, economic and social imbalances in the country, increasing the life standards of the public (Kibaroglu, 2013, 51).

However, according to T.R. Ministry of Forestry and Water Affairs, General Directorate of Water Management officials, prominent problem areas in evaluating Turkey's water management policy are as follows:

- focus on pollution prevention
- individual solutions covering specific water bodies
- search for non-integrated solutions
- focus on meeting individual water demands
- water management approach which is dependent on administrative borders
- limited management philosophy which is not including all actors
- lack of interagency coordination
- lack of water law and policy experts

Since it was founded, Turkey has not been a country who prefer to stay alone in the international political system, and make emphasis on international cooperation.

In this context, Turkey is a member of World Water Council. Due to April 2014, 8% of Council members were intitutions from Turkey. The Ministry of Forestry and Water

Affairs, Turkish Water Institute (SUEN), General Directorate of State Hydraulic Works are among intergovernmental members of World Water Council. Turkey also hosted the 5th World Water Forum in 2009, a meeting organized by World Water Council triennially.<sup>224</sup>.

Besides Turkey has been showing efforts for full membership of European Union, over a half century, since 1959. It gained the candidate country status in the year of 1999 and started negotiations on 3<sup>rd</sup> October 2005. It also has been carrying out environmental harmonization work of EU Legal Acquis from 2009, in which the Chapter No. 27 – “Environment” – opened for discussion – to today.

Concordantly, Turkey’s water sources policy is being formed by taking the economic and social development of water and country, priorities in terms of water and food safety, full membership negotiations carried out with EU and regional developments into consideration, into consideration and it is revised with changing conditions.

### **Water Potential of Turkey**

The utilization rate from the existing 112 billion m<sup>3</sup> annual usable water source (98 billion m<sup>3</sup> surface waters, 14 billion m<sup>3</sup> ground waters) is still around 36%, and 32 billion m<sup>3</sup> of that amount is used for irrigation, 7 billion m<sup>3</sup> is used for drinking and consumption,

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<sup>224</sup> See for details, [http://www.worldwaterforum5.org/fileadmin/WWF5/Media\\_corner/f\\_y\\_turkeCONV1\\_.pdf](http://www.worldwaterforum5.org/fileadmin/WWF5/Media_corner/f_y_turkeCONV1_.pdf)  
World Water Forums are Marrakesh (1997), Hague (2000), Kyoto (2003), Mexico (2006), Istanbul (2009), Marseille (2012), Daegu&Gyeongbuk (12-17 April 2015)

5 billion m<sup>3</sup> of it is used in industry (Total used water 44 billion m<sup>3</sup>). As this is the case, almost 74% of water sources of Turkey is used for irrigation, 11% is used for industry and 15% is used for urban consumption. Those ratios are respectively 70%, 22%, 8% around the World and 33%, 51% 16% in Europe. According to international standards, with renewable water amount of 1.500-1.700 m<sup>3</sup> per person per year (See Table 9), Turkey is evaluated as a country under “water stress”. (T.C. Orman ve Su İşleri Bakanlığı, 2014, 3).

*Table 9. Annual Water Amount per person (m<sup>3</sup>/year) by Some Countries*

<b>COUNTRIES</b>	<b>2005</b>	<b>2023</b>
Water-Rich Countries (Canada, ABD, North and West European Countries)	10.000+	8.000+
Iraq	2.110	1.400
Turkey	1.600	1.300 <sup>225</sup>
Syria	1.420	950
Israel	300	150
Jordan	250	90
Palestine	100	40

*Source: (Kinacı, 2012)*

Turkey has been divided into 25 hydrological basins (See Table 9) and total annual average flow within these basins are 186 billion m<sup>3</sup>. According to data coming from General Directorate of State Hydraulic Works, almost one-third of this amount belongs to Euphrates-Tigris basin that is on the eastern section of the country (52.94 billion m<sup>3</sup>). Kizilirmak and Sakarya basins follow this in terms of regional size, and the Eastern Black Sea, the Eastern Mediterranean and the Antalya basins follow Euphrates-Tigris basin in terms of annual average flow.

*Table 10: River Basins of Turkey*

<sup>225</sup> Estimated calculation made as population of Turkey will be approximately 85 million in 2023

01) Meric-Ergene Basin	14) Yesilirmak Basin
02) Marmara Basin	15) Kizilirmak Basin
03) Susurluk Basin	16) Konya Closed Basin
04) North Aegean Basin	17) Eastern Mediterranean Basin
05) Gediz Basin	18) Seyhan Basin
06) Kucuk Menderes Basin	19) Orontes (Asi) Basin
07) Buyuk Menderes Basin	20) Ceyhan Basin
08) Western Mediterranean Basin	21) Fırat-Dicle Basin (Euphrates-Tigris)
09) Antalya Basin	22) Eastern Black Sea Basin
10) Burdur Lake Basin	23) Coruh Basin
11) Akarcay Basin	24) Aras Basin
12) Sakarya Basin	25) Van Lake Basin
13) Western Black Sea Basin	

*Source: T.R. Ministry of Forestry and Water Affairs (2015)*

In various sources, the number of basins in Turkey seems to be 26, and on Table 10, the number of basins is seen as 25. The difference between these numbers are coming from the policies preference of Turkey related with Euphrates and Tigris basins. As it will also be mentioned later, the studies, which determine the number of basins as 26, evaluates Euphrates and Tigris basins as separate basins. However, Turkey's transboundary water policies within the region are based on "two rivers, one basin" approach. In this scope, the total water potential of these two rivers are adequate to meet the needs of three riparian countries (Turkey, Syria and Iraq).

### **The Harmonization Efforts with WFD in Turkey**

Driving factors for harmonizing water management legislations in Turkey can be listed as follows:

- Unsatisfactory Law No. 831: Law About Water in current situations which was came into act in 1926.
- Conflicts about authority and responsibility in available water legislations: Reducing the number of authorized and responsible institutions as possible.
- Harmonization requirement with EU Water Environment Directive.
- Fulfilling gaps in available water legislations.
- Obligation to consider not only the amount, but the quality of water.

Therefore, Turkey has accelerated its efforts to improve water policies and ensure compliance with WFD.

Even though, Turkey has continued negotiations under the title of “environment” since 2009, the harmonization efforts to WFD started long before.

The first study about harmonization to the WFD in Turkey was a joint project which coordinated by Turkish and Dutch governments (Wijk, F.J, et al., 2003).

The consortium in leadership of Grontmij Consulting Engineers had been applied The Project of Implementation of the WFD in Turkey between January 2002-November 2003. One part of this project was to develop a river basin management plan according to WFD guidelines.

Secondly, it carried out a twinning project titled as “Capacity Building Support to Turkey for the Water Sector” between the years of 2007 and 2010, together with governments of Netherlands, United Kingdom and Slovakia, and as an outcome of that project, the draft of “The WFD National Implementation Plan” was formed. Within the project, in which many limitations such as the inadequate number of technical experts, lack

of data and high costs are defined, it has been mentioned that the targets for the year 2027 will be difficult to realize even in the framework of a possible extra (additional) time. Even though it has been targeted with the draft that river basin management plans regarding those 25 river basins will be completed until the year 2011, the plan couldn't be put into practice in terms of foresights in question.

As Turkey's water legislation is based on highly old regulations such as The Law about Water dated 1926 and numbered 831, The Law on Protection Against Flood Waters and Flooding" dated 1943 and numbered 4373, The Ground Water Law dated 1960 and numbered 167, it needs a renewal for works of harmonization with European Union acquis. So preparatory works about water legislation harmonized with the WFD are completed and still ongoing. (See Table 11). The main responsible institution for water legislation harmonization works in Turkey is the Ministry of Forestry and Water Affairs, General Directorate of Water Management which established in 2011.

*Table 11. Law & By Law Preparations of Water Management in Turkey*

<b>Law / By law</b>	<b>Status</b>	<b>Related EU Legislation</b>
<b>Water Law</b>	Sent to Prime Ministry for approval	Water Framework Directive
<b>Draft By-Law on Protection of Drinking Water Basins</b>	Will be sent to Prime Ministry for approval	Water Framework Directive
<b>Draft By-Law Reuse of treated waste water</b>	Will be sent to Prime Ministry for approval	Water Framework Directive
<b>Draft By-Law on Water Economy and Tariffs</b>	Preparation ongoing (2015)	Water Framework Directive
<b>Draft By-Law for Water Loss and Leakage</b>	Preparation ongoing (2015)	Water Framework Directive
<b>By-Law of Surface Water Quality Management</b>	Published in Official Gazette (30.11.2012 - No. 28483)	Water Framework Directive & Directive on Environmental Quality Standards

<b>By-law of quality required of surface water intended for to be obtained or planned to be obtained of drinking water</b>	Publicated in Official Gazette (29.06.2012 - No. 28338)	Surface Water Directive
<b>By-law On The Protection Of Groundwater Against Pollution And Deterioration</b>	Publicated in Official Gazette (07.04.2012 – No. 28257)	Groundwater Directive
<b>By-Law of Protection of Water Basins and Preparation of Management Plans</b>	Publicated in Official Gazette: 17 October 2012, no 28444	Water Framework Directive
<b>By-Law on Monitoring Surface and Ground Water</b>	Publicated in Official Gazette: 11 February 2014, no 28910	Water Framework Directive
<b>Draft By-Law on Bathing Water Quality</b>	Preparations ongoing under coordination of Ministry of Health	Bathing Water Directive

*Source: (Kinaci, 2012)*

By March 2015, achieved harmonization levels with EU acquis in Turkey is presented in Table 12.

*Table 12. The Harmonization Rate to EU Directives*

<b>EU DIRECTIVES</b>	<b>Harmonization Rate</b>	
	<b>for Legislation (%)</b>	<b>For Application (%)</b>
<b>Water Framework Directive 2000/60/EC</b>	80(exclude transboundary waters)	40
<b>Directive on the Quality of Fresh Waters Needing Protection or Improvement in order to Support Fish Life 2006/44/EC</b>	100	-
<b>Directive on Environmental Quality Standards in the Field of Water Policy 2008/105/EC</b>	15	15
<b>Directive on Urban Waste-water Management 91/271/EEC</b>	100	40
<b>Directive on the Protection of Water Against Pollution Caused by Nitrates from Agricultural Sources</b>	100	40

<b>91/676/EEC</b>		
<b>Directive on The Protection of Groundwater Against Pollution and Deterioration 2006/118/EC</b>	100 (exclude transboundary waters)	Ongoing
<b>Directive on the Quality of Bathing Water 76/160/EEC</b>	100	90
<b>Directive on the Assessment and Management of Flood Risks (Targeted) 2007/60/EC</b>	At the end of 2015 - 4% At the end of 2016 - 8%	
<b>Directive on the Quality of Water Intended for Human Consumption 98/83/EC</b>	100	100
<b>Directive on the Quality Required of Surface Water Intended for the Abstraction of Drinking Water 75/440/EEC</b>	100	50
<b>Directive on Framework for Community Action in the Field of Marine Environmental Policy 2008/56/EC</b>	be taken into consideration later	

*(Source, Kinaci, 2015)*

When provisions of “Water Basins Protection and Management Plans Preparation Directive” accepted on 17<sup>th</sup> October 2012 and By-Law on “Monitoring Surface and Ground Water” accepted on the date of 11<sup>th</sup> February 2014 are examined for the WFD’s inclusion to Turkey’s domestic law, it can be seen that terminology and basic approaches of the WFD are reflected onto these with a large scope. However, on the directive dated 2012, there is a clause that the required planning with the EU member countries on the matter of transboundary basins, the management approach of Turkey was only limited with basins that flows over the borders of the EU. However the WFD also includes provisions related with developing cooperative actions with neighboring states, which aren’t members of

European Union. On the directive dated 2014, there isn't any other assessment other than the basic principle of "the data share for transboundary waters are on the initiative of Ministry of Forestry and Water Affairs".

Another regulation, which makes us think that Turkey is yet unable to realize a detailed political approach on the matter of transboundary waters at a statute level, is the "Draft of New Water Law", which will become the most fundamental legal regulation of Turkey on the issue of water after taking effect. Within the draft, which brings definitions such as "transboundary waters" and "boundary waters", there isn't any provisions on the matter of boundary water sources other than the provision that the Ministry of Forestry and Water Affairs have authorized with the assent of Ministry of Foreign Affairs for giving permissions and making decisions on issues such as all kinds of observations, technical negotiations and agreements on mutual projects between the countries. Also, this is only limited with border-setting waters as there isn't an approach on transboundary waters.

Nowadays, the work related with 25 basins are carried out with the responsibility of Ministry of Forestry and Water Affairs and its affiliate General Directorate of State Hydraulic Works within the framework of National Basin Management Plan that includes the years 2014 to 2023. Within the direction of this plan's foresight, River Basin Management Plans will start being prepared by the year 2014 in compliance with Water Framework Directive (T.C. Orman ve Su İşleri Bakanlığı, 2014, 6).

Also, as it was the same case within the development phase of European Union water policies, Turkey has the target of constituting a single law that will make many regulations and directives related with water in Turkey come together under a single one. On the Turkish National Programme for the Adoption of the European Union Acquis 2007-2013,

Draft of Water Law is counted among the legal regulations, which will be beneficial to release between the years of 2009-2013. Draft of law is waiting for approval in Prime Ministry (See Table 10).

According to T.R. Ministry of Forestry and Water Affairs, General Directorate of Water Management officials, new Water Law will bring following benefits to Turkish Water Management Policy:

- Avoiding too many talking heads on water management
- Managing water basin based.
- Managing water as quantity and quality
- Assignment on the basin basis.
- Developing flood management plans and considering them in development plans
- Developing a National Water Plan
- Considering wild life in water usage and construction of water buildings
- Harmonizing with EU Water Environment Directive

The National Basin Strategy can be considered as a broad work that includes harmonized titles with the WFD, but it is remarkable that “transboundary basins” isn’t mentioned in any parts of the strategic document as it was an issue of the “By-Law of Protection of Water Basins and Preparation of Management Plans” dated 2012, even though the issue was mentioned briefly in it.

It can be considered that the reason for Turkey not emphasizing on transnational relations about its statute related with water is affected with the fact that the country has a distant stance towards primarily to Helsinki Convention dated 1992 and the Conventions

of Espoo and Aarhus, on which the WFD has its foundations and which are harmonized with the Union acquis and mentions issues related with transboundary relationships.

As a matter of fact, Turkey isn't a party to none of these three Conventions.

On the progress reports, released by European Commission from the year 2005 to year 2009, it has been repeated that Turkey is not yet a party for Espoo and Aarhus Conventions, it is also mentioned that there isn't a clearly foreseen schedule for being a party of these Conventions in the future (it was expressed that the issue was postponed to past-2011), the preparation for issuance of the Directive on Strategic Environmental Impact is limited, there were also mutual expressions stating that there isn't any development for inclusion on domestic regulations on the issues of environmental responsibility, public participation and information access of the community related with the environmental matters.

On the Progress Report dated 2010, the matter of not being a member to Aarhus and Espoo Conventions hasn't been mentioned in the "Environment" Section for the first time since 2005. It has been stated that the scope of the Directive on Environmental Impact Assessment (EIA-ÇED) has been broadened and ÇED Directive has mostly been included within domestic law. However, it has also been expressed that the principles related with public participation and transnational consultation haven't been fully harmonized and applied. It has also been mentioned in the report that it is still a very early phase for inclusion of the Directive on Strategic Environmental Assessment (SEA) to the domestic law (European Commission, 2010). It can be seen that Aarhus Convention is reminded again on the progress report of year 2014.

In addition to that, it has been expressed as a footnote of the “Turkish National Programme for the Adoption of the European Union Acquis 2007-2013” released on the year of 2008 that the issue of being a member for Aarhus and Espoo Conventions will be evaluated within the perspective of full membership to European Union (ABGS, 2008: 288).

Turkey expresses within the framework of its latest developed approach that full harmonization of the WFD and being a party for the Conventions in question will be carried out after being a full member of the EU, and in addition to that, full compliance with the Directives within the scope of the Conventions can be completed 2 years prior from the finalization date of EU membership.

It is clear that the acquis harmonization work will be affected negatively as especially “being a member of Aarhus Convention” is considered to be a closing criteria by the European Union for the conditions of Turkey’s full membership status, while Turkey stated that being a party to Aarhus Convention will be taken into consideration with the process of full membership and it considers that to be a part of their negotiation power (Tenikler, 2011, 647).

Another problem area in Turkey's accession process to the European Union is related to compliance costs. Turkey's compliance costs in the framework of the EU Environment Chapter is approximately 70-100 billion euros. Approximately half of these costs are calculated for the water sector with 37 billion euros.

### **The Harmonization Level of Turkey About Water Sector in the European Union Progress Reports**

When the WFD harmonization level of Turkey, which has been evaluated by progress reports from European Commission since 1998, is observed, the following approaches stand out:

During the progress reports released from 2002, in which the WFD started being applied, to 2005, it was recorded that there were limited developments in general for the water sector. On the reports released after 2005, assessments such as the development of cooperation related with the transnational waters within the direction of the Water Framework Directive and other international conventions for which the European Union is a party is at the beginning phase, a managerial structure based on the river basins can't be constructed, and the general level of compliance is low as the Water Framework Directive can't be conveyed.

Even though, a limited development on water quality is mentioned during the assessments of 2010-2011 year, on the progress report of 2012, a strong development on water quality has been achieved with new water legislations and river basin management, together with the acceptance of statute regarding ground and drinking waters. The report for year 2012, which states that the preparations for turning river basin protection activity plans into river basin management plans are still ongoing, evaluates the foundation of Turkish Water Institute as a positive step for making scientific recommendations on water management issues. There are ongoing transnational consultations and negotiations with Greece and Bulgaria regarding the water issues but these events are still at an early process.

The progress report for year 2013 states that, on the issue of water quality, the statute regarding the river basin management and above ground water management are accepted, and after the water sector was transferred from Ministry of Environment and Urbanization

to Ministry of Forestry and Water Affairs, corporational coordination issues have experienced problems due to the fact that the responsibilities weren't shared clearly.

The progress report for year 2014 states that, the acceptance of By-Law on Monitoring Surface and Ground Water and National Basin Management Strategy (2014-2020) in order to increase the compliance with EU aquis are evaluated as positive developments, although the transnational negotiations about water matters with the neighbor countries aren't still at the demanded level.

On the other hand, harmonization with WFS and development of river basin management plans are among closure criteria of Environment Chapter for Turkey. This means full membership of Turkey will be impossible unless requirements of WFD are met.

### **Turkey's Transboundary and Boundary Water Problems in the Direction of Euphrates, Tigris and Orontes (ASI) Basins**

Turkey has a very important geopolitical position. As it can be seen from the Table 13, there are eight neighbor countries of Turkey and 22% of its borders are made from water. Even though Turkey has put its signature to various agreements that foresee the mutual utilization of waters in question, it is a country that faces with problems from time to time with its neighbors for those transboundary waters.

615 kilometers of Turkey's borders are formed with water. In this angle, Turkey is one of the rare countries which has a border formed of water with all of its neighbors. Total potential of water sources, which are transboundary/boundary and Turkey doesn't have a total freedom of source planning and utilization over, is 66,4 billion m<sup>3</sup>; the share of this number within Turkey's total water potential is up to 36%. This situation increases the need for a strategically foreseen works and dynamic hydro-politics for Turkey, which is a

neighbor for water-limited Middle East region and which owns transboundary water sources (Yıldız, 2009, 1).

*Table 13. Water Borders Lengths and Land Borders Lengths of Turkey*

Bordering Countries	The Border Length with Turkey	Length of Border as River	Rate to Land Border
	(km)	(km)	(%)
Syria	877	76	9
Armenia,Azerbaijan (Nakhcivan),Georgia	610	243	40
Iran	454	20	4
Iraq	331	38	11
Bulgaria	269	50	19
Greece	212	188	89
<b>Total</b>	<b>2753</b>	<b>615</b>	<b>22</b>

*Source: (Bilen, Uşkay 1991) ’den aktaran (Bilen, 2000,97)*

As it is seen on Table 14, Turkey has 6 boundary and 12 transboundary water sources.

The largest share among these, especially on the matter of transboundary waters, belongs to the border relations between Turkey and Syria, which has Turkey’s longest landborder.

*Table 14: Boundary and Transboundary Waters in Turkey*

Boundary Waters	Transboundary Waters
1) Meriç River Bulgaria-Turkey-Greece	1) Euphrates River Turkey – Syria –Iraq
2) Aras River Turkey - Azerbaijan-Iran Armenia	2) Habur Stream Turkey – Syria
3) Arpaçay Turkey - Armenia border water	3) Nusaybin Çağ-Çağ Pınar Turkey - Syria
4) Hezil Stream (Distributary of Tigris) Turkey – Iraq border water	4) Sacir Water (Distributary of Euphrates) Turkey – Syria
5) Mutlu Stream (Rezve) Turkey -Bulgaria border water	5) Culap Stream (Distributary of Euphrates) Turkey – Syria
6) Orontes (Asi) River Turkey – Syria	6) B.Circip water (Distributary of Euphrates) Turkey – Syria
	7) Karacurum Stream Turkey – Syria
	8) Balık Water Turkey – Syria
	9) Zerkan Water Turkey – Syria
	10) Senpas Water Turkey – Syria
	11) Dicle River Turkey – Syria (Border)-Irak

	12) Zap Water (Distributary of Dicle) Turkey-Iraq
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*Source: (Avci, Yanik, 1997, 7-15)*

The European Union started to get involved in the water problem of Middle East more with the full membership process of Turkey. Even the European Commission mentioned the following expressions in the study document of year 2004 named “Issues Arising from Turkey’s Membership Perspective”:

*“A key issue in the region is access to water for development and irrigation. Water in the Middle East will increasingly become a strategic issue in the years to come, and with Turkey’s accession one could expect international management of water resources and infrastructures (dams and irrigation schemes in the Euphrates and Tigris river basins, cross- 10 border water cooperation between Israel and its neighbouring countries) to become a major issue for the EU.”*

The EU underlines Israel and its neighboring countries and *makes a suggestion on a regional structure which contains other countries in the Middle-East except the three neighboring countries (Turkey, Syria and Iraq) at Euphrates and Tigris river basins. However estimated structure seems like a more appropriate option for “good-will environment” in EU borders. The troubled image of the Middle East doesn’t coincide with the estimations of Europe.*

The water issue between Turkey, Syria and Iraq has arisen in 1960s when they started large scale water improvement projects. The prior goals of these projects are to arrange the flow of the rivers to fight against floods and drought. In the later periods, the goals of neighboring countries grew more and more and production of hydroelectrical energy, providing drinking water and large dams and irrigation systems build for water use and

irrigation added to these and it is observed that water use and demand increased quickly. The projects that neighboring countries carried out unilaterally (GAP, The Southeastern Anatolia Project-Turkey; Euphrates Valley-Syria) forced the capacity off the river systems. When the water demand exceeded the supply, they tried to communicate with water authorities in every country and carried out ad hoc meetings process. (Kibaroglu, 2012,71)

In this process, Turkish Republic Ministry of Foreign Affairs bases Turkey's policy on transboundary waters on the following principals (Rende M., Dışişleri Bakanlığı):

- “fairly, rationally and effective use” of waters
- “Two rivers one basin principle” on Tigris and Euphrates rivers
- “Not giving significant harm principle” to the neighboring countries in the use of transboundary rivers
- Seeing water as a cooperation element
- Sharing the benefits of water
- Looking for solutions in the use of waters between neighboring countries
- Paying attention to the natural hydrological and meteorological conditions in the designation and use of waters

As it is seen, the basic principles of Turkey's water policy coincides with the approaches in the WFD. The most important problem here is about Euphrates and Tigris basins. While the WFD projects to create separate management plans for every basin, Turkey argues that both basins should be planned as a single basin district.

Syria and Iraq consider Euphrates as an international river. Both countries insist on making a sharing agreement based on every country determines its own water need on Euphrates. On the other hand, Turkey considers only the rivers that create borders between

two or more countries as international rivers (waters); and considers Euphrates and Tigris as a single transboundary river system that goes through the territory of Syria and Iraq and to share these waters based on fair use principle. (Kut, 1993, 5)

Syria and Iraq strive to demand more water all the time by introducing Turkey as a “water rich country”. The country contributions to Euphrates and Tigris rivers and demanded consumption amounts appear in Table 15 and Table 16 (Çubukçu, 2011):

*Table 15. Consumption Targets and Water Contribution (Euphrates River Basin)*

<b>Countries</b>	<b>Annual Capacity (billion m<sup>3</sup>)</b>	<b>Consumption Target (billion m<sup>3</sup>)</b>	<b>Water Contribution (%)</b>
Turkey	31.58	18.42	89
Syria	4.00	11.50	11
Iraq	0.00	23.00	0
<b>Total Consumption Target</b>	<b>35.58</b>	<b>52.92</b>	
<b>Deficit</b>	<b>52.92-35.58=17.34</b>		

*Table 16. Consumption Targets and Water Contribution (Tigris River Basin)*

<b>Countries</b>	<b>Annual Capacity (billion m<sup>3</sup>)</b>	<b>Consumption Target (billion m<sup>3</sup>)</b>	<b>Water Contribution (%)</b>
Turkey	25.24	7.00	48
Syria	0.00	2.60	0
Iraq	23.43	45.00	52
<b>Total Consumption Target</b>	<b>48.67</b>	<b>54.60</b>	
<b>Deficit</b>	<b>54.60-48.67=5.93</b>		

As it is seen, when both basins are considered separately, annual capacities of the basins are insufficient and there is a deficit. Especially Iraq wants to make an agreement to release a certain amount of water from Tigris River as well as it is in Euphrates River.

Nevertheless while Turkey didn't experience serious problems with its other neighbors except Syria and Iraq (With Bulgaria on Maritza and with Georgia on Coruh), it presented positive and constructive policies in Euphrates-Tigris Basins. As a source country, it served as a host since 1982 for Joint Committees, implemented plans involving three countries. However Syria and Iraq continued their incomprehensible attitudes by showing approaches such as conducting international lobby activities to prevent dam investments in Turkey and trying to affect public opinion by claiming that Turkey releases insufficient water to cover their insufficiencies about water management (Rende M., Dışişleri Bakanlığı).

There are many binary and ternary protocols signed between the three countries starting from 1960s. However, the main point that the first protocols focused on was on sharing water resources. But it is clearly seen that there is a change in recent politics.

Turkey's new approaches that it developed within the frame of its relations with European Union played an important part in the protocols signed in 2009 with Syria and Iraq on use, development and protection of water sources in Euphrates, Tigris and Orontes basins. In these protocols, approaches used such as "management of water sources on basin level", "polluter will pay", "forming emission standards and switching to environmental quality standards" and "providing cost return" reflect the approaches and terminology that WFD contain which is identified as the main legal document of EU in forming water policies and especially as main legal document of EU water sources management. Ministry of Environment and Forestry which plays a direct role in preparation of these protocols and acts as the main acting authority, reflected legal and corporate level development and experience they developed in the chapter of "Environment" withing the frame of

membership meetings with EU, directly on these two protocols. This way, it is observed that transboundary waters subject is also taken into consideration by ministries which are directly related to technical sides of the subject as well as “high politics maker” Ministry of Foreign Affairs. This reflects a very different approach from the negotiations carried out with Syria and Iraq in Euphrates and Tigris basins since 1980s. This difference in approach is the parties didn’t mention the share and assignment of water resources as they focused on the rational use and sustainable management of water sources which is quite different than previous diplomatic negotiations (Kibaroglu, 2013, 54)

Especially Syria accepted cooperation on Orontes River which it considered as a national water for years and never get into dialog with Turkey about it. For this purpose, the foundation of “Friendship Dam” which was a “peace project” was started in 2011 at Syria-Turkey Border. (ORSAM, 2011, 9). However, the project which was started to be build to produce energy for bot countries, was stopped after a short while because of domestic disturbances started in Syria.

The picture above shows that it is not possible to create a mutual basin management between Turkey – Syria – Iraq at least in the short or medium term in European Union membership process within the frame of the WFD and international agreements. The unsteady status of middle-east of today and especially the stressed relations between Syria and Turkey put away the chance to create a mutual partnership model for now.

## **CONCLUSION**

Problems related to water resource shortage which arise from bad management, unconscious use, over consume and ongoing drought conditions, only can be solved with a process in which all neighboring countries are involved at the river basin level. No matter

what the political developments are, communication on water should continue. In addition to meet the demands of water sector (energy and agriculture) providing necessary flow for river ecosystem and it is necessary to evaluate planning and management with the cooperation of neighboring countries and turn it into coordination (Kibaroglu, 2012,73).

This approach which should be used as a base, could be seen clearly in the efforts of European Union in the last period. But also in the Europe where political problems that arise from water policies are rarely seen, there are troubles for the European Union to reach water policy goals.

Deficiencies seen in the aspect of information, administrative capacity and control on the level of member states during the development phase of European Union water policy are trying to be resolved in within the frame of Europe Water Framework Directive. Directive which is seen as an effort to create an integrated vision for European Waters, didn't succeed completely about reaching the estimated timetables in the aspect of all members. Year 2015 is now far away from a sufficient time estimation for Europeans who aim to improve their water quality to "good condition".

While that's the way it is on the level of member states, it is inevitable to experience compliance problems for the countries in the EU full membership process. Besides the legal and technical compliance, the subject also should be evaluated in the sense of relations with neighboring countries related to transboundary obligation fields and foreign policy preferences of candidate countries such as Turkey.

Nowadays, as well as there are supporters of the full European Union membership of Turkey, especially according to the opposing groups in European Parliament, with the full membership of Turkey, the eastern borders of Turkey such as Euphrates and Tigris

rivers will turn into the borders of European Union's east borders opening to Middle East and European Union will be a side to a new transboundary water problem district. Since Maritza river basin will become an inland basin for the Community with the membership of Turkey, so it is the less important problem compared to Fırat and Dicle for the opposing groups in the European Union.

On the other hand, it should be considered that Turkey's transboundary water policy covers not only the Middle East region, but also Europe region. For example, transboundary foreign policy principals and applications of Turkey should be applicable for Maritza River Basin. Turkey should follow proactive policies for struggle against destructive floods because of the climate change in Maritza basin and uncoordinated use of Bulgaria. Besides the European Union should undertake initiatives for the implementation of the Water Framework Directive and the Floods Directive in the Maritza basin.

The preference of Turkey which doesn't comply with the request of the WFD that demands to develop a different approach for every river basin, it calms the desire to be a party to relevant regulations such as Helsinki, Espoo, Aarhus Conventions and especially full compliance to the WFD.

From this aspect, one of the criticisms on the WFD about inciting cooperation models is that Directive is a regulation in accordance with European relations model but it is far away from reality and being practical for countries such as Turkey which experience transboundary water problems for many years.

EU countries which have an understanding that gives importance to the quality of water more than the quantity of water, define the prudential water use as a "risk" within

the frame of the WFD and countries such as Turkey which didn't complete the processes to form physical structures towards improving water resources, see these not as a risk but an element of socioeconomic development.

Thus, according to the Large Dams Commission, Turkey is in the 11<sup>th</sup> place in the world with 976 dams, after Spain which has the most dam construction in Europe. As a country which is progressing quickly in the path of being a water poor country, Turkey will also experience the quantity concerns of Southern Europe Countries.

If we consider that EU's directive related to seas dated 2008 could be related to the WFD, for Turkey which is surrounded by water on three sides, a new compliance effort could be possible. This could mean a new network of relations with European partners both in Mediterranean Sea and Aegean sea. In this aspect, the efforts for compliance with the WFD could be considered as a good implementation practice for Turkey.

Lastly, Turkey is not able to use its water resources rationally both because of global threats and national capacity insufficiencies. It is clear that EU membership process creates a chance to develop indispensable approaches for Turkey such as overseeing protection-use balance of water policies, cooperation, public participation and knowledge generation. So Turkey must be a party to Aarhus, Espoo and Helsinki Conventions as soon as possible.

It is important for Turkey as a country, hosted the World Water Forum in 2009, to be able to express to the global partners that it has a constructive and well-meant approach about both national and transboundary waters.

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## **After the Independence of Civil Society Organizations in Georgia**

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### **Abstract**

Civil Society Organizations, which have become an important sector in Georgia that gained independence after the collapse of the Soviet Union, their legal basis, activity areas, important contributions to the solution of social problems and their effects in society have been examined in this study. The conclusions of this study in sum follow: Non-governmental organizations (Civil Society Organizations) supported by the Western global powers, which have been carrying out their activities, have been in sight to be important actors in the development of democracy in Georgia, in solving the current social and political problems and in the formation of civil society especially in the last few years. It has been seen that there have been important positive contributions of NGOs (Non-governmental organizations (Civil Society Organizations) ) to the process of democratization in Georgia, in the development of participatory democracy; re-planning structural changes according to the democratic dimensions in different areas, such as education, health, justice and security; and the practices on capturing the standards of developed Western countries. It has been ascertained that the survey conducted on more than 20 NGOs, which are carrying out their activities in different areas shows that they have sustained continuous change and development especially since the early 2000s, and they have been looking for solutions for the country's major problems within the bounds of possibility.

*Keywords:* democracy, Georgia, politics, The Soviet Union, non-governmental organizations,

### **After the Independence of Civil Society Organizations in Georgia**

Within the historical process, especially for last quarter century, civil society is the leading concept densely discussed in different countries depending cultural and political developments. It is hard to say that everyone understand same thing from concept of civil society expressing a positive value in almost each fraction. General consideration accepted with regard to civil society is that this concept was taken from the West.

Civil society mostly shows itself in the societies in which individuals are prioritized and it confronts as indispensable condition to establish democracy concept in this society. Civil society is autonomous from state. It can be accepted as a living space where state has no intervention and individuals try to solve troubles in some matters without depending to state or getting permission from it.

Although civil society accepted as a structure in a field in which it is autonomous from state and state has no intervention, it does not mean that one can think civil society is stateless. Groups voluntarily setting out in the direction of a common purpose and in cooperation with solutions of problems, they are named as Non-governmental Organizations (NGOS).

Non-governmental Organizations (NGOS) working as independent from public enterprises; doing activities with sport, charities, lobbying works, persuasion and actions; employing their members and personals by volunteering method; seeking no profit; providing their income with membership fees and donations, they are legal to communities founded to develop a service which is helpful for society.

## **Civil Society Concept and Its Historical Development Process**

Nowadays, both in the West and in the Eastern Bloc countries newly adopting democracy, "civil society" concept which is used in political sciences and for which arguments are made, confronts with different characterizations in the historical, social and intellectual development process of Western world. Changes in social, political and economic life are important factors for changing meaning of civil society concept within this process.

We can say that use of civil society concept, concerning the meaning that it is gained in modern world, is the result of alterations and transformations that experienced between the years of 12th and 14th in the West. Civil society exactly are showed up as a product of urban development.

From the end of 17th century and the beginning of 18th century, economic and social changes having in Western world shortly transforms which prepared and established "industrial society", forms the datum point of civil society conceptualizing. Developments such as centralization of administration, division of labor complexifying gradually, enlargement in market economy, land, labor and fund commercializing, revived civil society concept as field three apart from family and state.<sup>226</sup>

### **Civil Society In Terms of Concept**

Meanings attributed to civil society concept vary from the beginning of modern day. Between 17th and 19th century, civil society was dealing and describing along with states. According to Lock, famous political theoretician in that period; "*civil society confronts as a concept in which lives and properties of individuals are used freely. In other*

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<sup>226</sup> Mümtazer Türköne, **Siyaset**, Ankara, Lotus Yayınevi, 2008, s. 348.

*saying, necessity about common people living for protection of freedom and property reveals civil society."*<sup>227</sup>

Civil society can be described that it is organizing of actions and itself in a society as a whole through volunteer organizations which is not under the supervision an pressure of state government in global level.<sup>228</sup>

In contemporary meaning, civil society states, "*a level of development in which organizing is the essential in the volunteering basis in which individual freedom and inherent rights is protected and which is based on consciousness of citizenship that society can get ahead of state and can check and direct government policies.*"<sup>229</sup>

Civil society has these features:<sup>230</sup>

- Controls government of state
- Enhances level of participation
- Improves democratic attitudes
- Softens polarizations
- Acts a play in terms of raising and developing new political leaders
- Provides democratization of political parties
- Spreads knowledge to wider parts of society
- Provides to spread and enhance new ideas
- Increases the responsibility of political system to community

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<sup>227</sup> Osman Tekir, "Küreselleşen Sorunlar Karşısında Sivil Toplumun İşlevi", **Uluslararası V. STK'lar Kongresi**, (2008), s. 607.

<sup>228</sup> Müberra Babaoğul, Arzu Şener, "Küreselleşen Dünyada Etkin Bir Tüketici Hareketi İçin Sivil Toplum Kuruluşları (STK) Ve Sorumlulukları", **Uluslararası V. STK'lar Kongresi**, (2008), s. 619.

<sup>229</sup> Osman Arslan, **Sivil Toplum ve Türkiye Gerçeği**, İstanbul, Bayrak, 2001, s. 49.

<sup>230</sup> Gülgün Erdoğan Tosun, **Demokratikleşme Perspektifinden Devlet – Sivil Toplum İlişkisi**, İstanbul, Alfa, 2001, s. 29.

- Lastly, it moves political ossification to outside of elections and in this respect, it becomes a school where democratic political culture can be gained.

In Europe, structures which are active in the civil field are called as "non-governmental organization". In our language they are called as "sivil toplum kuruluslari", "hukümet disi kuruluslar" "ucuncu sektor kuruluslari".

With the civil society organizations concept, it is intended to express every organization which are active in civil society field and can organize freely without being impressed by administration.<sup>231</sup>

Civil society organizations excessively vary because of their meanings, but the ones which matter in both national politics and international politics, aim at democratizing, modernizing and protecting basic rights and liberties, also they don't pursue personal and group interest.<sup>232</sup>

It is required to describe civil society organizations as areas where they improve expression and voice of various citizen parts, different people and where people learn being free and gain freedom statement than seeing them as associations and organizations defending just certain interest and extending them.<sup>233</sup>

### **Country Profile of Georgia and Importance in Turkey**

With the dispersing of SSCB, many country like Caucasia and Georgia in Central Asia that have an important place because of their geopolitical and strategic location, gained independence, Turkey had no border with Russian Federation (RF) which was its

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<sup>231</sup> Yıldırım, **Demokrasi Sivil Toplum ve Yönetişim**, s. 51.

<sup>232</sup> Tunçay Mete, "Sivil Toplum Kuruluşlarıyla İlgili Kavramlar", **Tanzimattan Günümüze İstanbul'da STK'lar**, Sayı:2, (1998), s. 12.

<sup>233</sup> Kentel, Ferhat, "Sivil Toplum Kuruluşları: "Projecilik" Versus kültürel Yurttaşlık içinde "Projeler ve Projecilik", **Sivil Toplum Kuruluşları**, Tarih Vakfı, İstanbul, 2003, s. 3.

historical neighbour and Georgia became vital importance for Turkey because it is a door that opens to Central Asia.

Being closed of Armenian entry point as a result of applied embargo due to a set of troubles with Armenia which could be a border neighbour opening to Caucasia and Central Asia made Georgia shortest and safest way to use for reaching to Caucasia and Central Asia for Turkey.

In nowadays in which an intense struggle is experienced in order to hold cheap and stable energy sources in whole world, many alternative is being evaluated in order to transmit Caspian petrol and Central Asia natural gas to western markets in safe and continuous way, projects are being prepared and struggles are experienced between countries in the region and other global power countries in political and economic field.

It is known that many Georgian citizens are living in Turkey. Foundations and associations that are formed by these citizens play an active role in determining politics between Turkey and Georgia. In Georgia which had been under the sway of Russia for many years, in consequence of suppression and terror brinkmanship that Russia carried out, it was initially looked with fear and concern to every phase of relationships between Turkey and Georgia but later in the most difficult times of Georgia, subsidies that Turkey gave and overt support that Turkey made in the international arena provided to be formed environment of confidence.

### **Geographical, Demographical and Social Structure of Georgia**

Republic of Georgia are located in between 400-470 East longitudes, 410-440 North latitudes. In the North Russia, in the south Armenia, in the southeast Azerbaijan, in the southwest and in the west Turkey are located. Length of land border of it is approximate

2000 km. Regime is republic and it's capital is Tbilisi. It's square measure is 69.700 km<sup>2</sup> and Tbilisi (1,4 million people), Kutaisi (240 thousand people), Rustavi (158 thousand people), Batumi (137 thousand people), Gori (70 thousand people) and Poti (50 thousand people) can be count as important cities in Georgia based on datas in 2012.<sup>234</sup> Its official language is Georgian and %85 Christian Orthodox, %10 Muslim, and others like Jews, Assyrians and Catholics are living in Georgia.<sup>235</sup>

In the borders of Georgia which has federal structure, Abkhazia and Ajara Autonomous Republics which are two autonomous republic and South Ossetia Autonomous Region are present, it separates 12 region, 63 district and 8 city with the capital Tbilisi in terms of administration.<sup>236</sup>

It is known that Georgia which is located in South of Caucasus Mountains witnessed human settlement from the time immemorial. Throughout history, Caucasia as a passage like Anatolia and Persia and as a country which is target of immigration like India provided to be form a very rich history, culture and ethnic accumulation.<sup>237</sup>

Country population is 4.490.500 people<sup>238</sup> based on 2014 datas. %65 Georgian, %11 Armenian, %10 Turk, %10 Russian and others like Ajaran, Abkhaz, Ossetian and other tiny groups form the population of Georgia.<sup>239</sup>

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<sup>234</sup> T.C BAŞBAKANLIK Türk İşbirliği ve Koordinasyon Ajansı Başkanlığı [http://www.tika.gov.tr/yukle/dosyalar/ULKERAPORLARI/Gurcistan\\_UlkeRaporu.pdf](http://www.tika.gov.tr/yukle/dosyalar/ULKERAPORLARI/Gurcistan_UlkeRaporu.pdf), (23.09.2009).

<sup>235</sup> <http://www.geostat.ge>, (24.02.2015).

<sup>236</sup> Ali Faik Demir, **Türk Dış Politikası Perspektifinden Güney Kafkasya**, İstanbul, Bağlam Yayınları, 2003, s. 118.

<sup>237</sup> Okan Mert, **Türkiye'nin Kafkasya Politikası ve Gürcistan**, İstanbul, IQ Yayınları, 2004, s. 111.

<sup>238</sup> [www.geostat.ge](http://www.geostat.ge), (24.02.2015).

<sup>239</sup> Mert, **Türkiye'nin Kafkasya Politikası ve Gürcistan**, s. 106.

### **Civil Society Establishments in Georgia**

In Georgia which gained its independence after collapse of Soviet Union, economic and political instability became main problem and as an extreme poor country in comparison with Eurostandarts, unemployment, human rights, education and health problems showed up. These main problems in Georgia caused to establishing CSEs. In order to provide establishing CSEs, annihilating present crises and settling democracy in every field Georgia has been being supported by means of grants and programmes by especially USA and other Western countries and international establishments.

In comparison with Western countries, in Georgia, although CSE sector has a short past, it can be seen that it has been engaging in every field of social life from the independence that Georgia gained to modern day and it became an important sector.

In Georgia, civil society entered in the process of a fast change in recent years. Civil Society Establishments (CSE), as the most important element of civil society, showed up as important actors in democratization of country and both their qualification and their quantity is increasing every passing day.

In recent years in Georgia, it is seen that civil society concept came to life into public discourse, civil society activities became widespread throughout the country, civil society establishments became an important actors for social change. Also it is observed that it is started to be accepted they are important actors of social development, social peace, democratization, human rights, education, health, modernization and sustainable economic progress.

When it is looked at the view of different juridical status, it can be seen that 3 (three) civil society organizations including Associations, Foundations and Unions came forward.

After the span of 21 years until its independence, as the date of 1 February 2012, there are 15.686 officially registered CSE<sup>240</sup> in Georgia in accordance with information of Georgia Ministry of Justice National public registration agency. In these organizations which are active different fields which are close to 30 from environment to health, education to culture, the youth to women organizations and human rights, approximate 100.000 people are working and over one million people benefit directly or indirectly from these services that these organizations offered.

When it is looked at the activities in the beginning of time when CSEs started to be formed, it can be seen that they were generally maintaining their activities in the shape of helpfulness. But in modern day, it can be observed that demand of individuals are put into words, and requests are considered by means of forming political agenda and forming public opinion of CSEs in preparation of laws in order to provide people to maintain more peaceful and modern life.

According to committed research, the legislation in force does not prevent CSE and its functions. But, in practice, almost every Georgian CSE depend on financing of foreign charities and they can not take any monetary assistance from government, local managements and their own registered members. Accountability and transparency providing mechanisms of CSEs are weak.

In Georgia, there are approximate 15.000 registered CSE. But even %10 of them can not be in service in real terms. 62 philanthropic organizations is present in country. They are authorized to collect donation and the most of them are active. Law considers

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<sup>240</sup> [http://www.csogeorgia.org/uploads/files/registered\\_cso.pdf](http://www.csogeorgia.org/uploads/files/registered_cso.pdf), (15.09.2012).

associations which are not registered. Registration procedures are made in Public Registration office which is belong to Ministry of Justice. But registrations of philanthropic organizations are made by Department of Finance. A large proportion of the grants are exempt from tax. But %20 income tax is cut from wage of CSE employees, just like other employees working in other fields.<sup>241</sup>

Biggest and the most active CTEs concentrated on Tbilisi. Powers of CTEs in local regions are quite few. In accordance with present act, CTEs benefit from a range of tax exemption. Incomes which are gained from commercial activities are included to general rules. Incomes which are not gained in noncommercial activities, like grants, donations, membership fees are exempt from income tax. Also, goods imported with grant agreement don't include value-added tax. On the other hand, holdings are exempt from estate tax as long as they are not used in economic activities.

When we look at the details of negotiations made in Tbilisi, Batumi and Kutaisi where CTEs are very active, even though male rate of managers and members in CTEs are higher than female during the first period when independence was gained, but in CTEs recently established and continue its activity based on structure of CTEs, it is seen that male and female ratio is balanced.

Also in examinations especially made in capital city of country and important touristic and industrial cities, it can be said that people attending CTEs have higher educational level in comparison to general structure of society and lead their life in the living standards of middle class.

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<sup>241</sup> [www.transparency.ge](http://www.transparency.ge), (15.09.2012).

When activities of CTEs are examined, it is seen that especially members are limited availability in activities in proportion to managers, have less knowledge of operation and managements have weight in decision making period as well as in countries where democracy newly started to settle.

When we look at the people's purposes of joining CTEs, it can be said that different factors are efficient. It is seen that people who have common concern in Georgia joined to organization in order to maintain a better life, have a voice in decision mechanisms of country management, decrease victimization in especially socio-economic field by congregating with people having same concerns, embrace standards of living like in western democracies.

CTEs are carrying out the most important part in period of Civil Society in Georgia. Formation of CTEs is started with NGOs in the phase of passing to laissez-faire democracy in country. CTEs are accepted as essential actors supporting progress of country democracy in tradition of Western democracy.

Forming modern civil society establishments was started in the years of 1992-1993. In the law of 1994, "Civil Society Establishment, Nonprofit Organization" concepts had not been being known. "Public Citizen Union" was known instead of it. After the acceptance of Georgian Constitution in 1995, first phase of base Civil Society Sector law was started in country in consequence of a group from CTEs "Economic Reforms and International Development Center in Georgia, Georgia Junior Counsel Association, Georgia Protection of Constitute and Georgia- ISAR" and fruitful collaboration in

parliamentary committee's policy and reforms of constitution, juridical problems, legislation and economy.<sup>242</sup>

At the end of the years of 1990s and at the beginning of 2000s, confidence crisis to government which was in the management in Georgia increased and infelicities started. In this period, it is seen that third sector took place in political process actively. CTEs conflicted against government visibly and Shevardnadze government lost its all support in community. In those times, the most active CTEs were "Young Reformists" that political opposition Zurab Jvania and Miheil Saakshvili formed together. Strong attacks started to civil society establishments by Government because of activities of this association against government.

Actions organized and executed by CTEs started to be effective in the year of 2003. CTEs carrying out activity were Freedom Institute, Fair Elections and Junior Lawyers Association during Rose Revolution. Confirmed and verified accusations made by these establishments increased the quality of opposition and conducted to end up with the triumph of government changing carried out by opposition.

### **Problems of CTEs in Georgia**

There are too many problems of CTEs in Georgia. They can be sorted as;

- Lack of available information about CTEs
- Problems in participation
- Lack of financial resource for carrying out activities

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<sup>242</sup> Maia Tsurtsunia, სამოქალაქო საზოგადოება (Samokalako Sazogadoeba – Sivil Toplum) , Tbilisi, Universal, 2011, s. 128.

- Requirement of qualified and competent person
- Limiter legislative regulations
- Lack of democracy inside of organization
- Personnel and substructure inability
- Miscommunication between CTEs
- Unequal media treating to voluntary agencies and seeing activities of CTEs as secondary and unimportant
- Inability of advertising activities
- Inability to institutionalizing problems in Western way
- Priority giving to narrow and short term policies than conducting long term goals
- Inability to gain adequate prestige in society because of inability to meet expectations of society properly and perception of that kind of CSEs about protecting interest of just one certain part of society and their personal but not overall of society.

### **Conclusion**

Georgia is one of the neighbour country of Turkey that is wanted to be putted in close-marking by especially global powers in region, experienced important struggles during structuring period when it were passing to democracy from communist regime in the short period like 20 years and have vital importance for Turkey, because it has both a

geopolitical and geostrategic position in the region and also have center position for transportation and trade ways opening to Caucasia and Central Asia.

Georgia which was one of the most stable economy of union in period of SSCB came up against instabilities in its economy after collapse. Large majority of industry sector is inactive because of frazzling technology. Cross-border investment increased in country depending upon economic agreements that Georgia signed recently, especially share of Turkish investment company reached an important level.

Millions of amounted loss caused by war in 2008 increased basic problems and needs of Georgia related to development; jobless rate increasing day by day, problems of social security and health substructure, inabilities to loan payment coming up depending upon global financial crisis, external loans and cross-border investments mattering for economic development decreasing, efforts of Russia supported opposition for changing present government can be counted as factors affecting negatively development of country.

Georgia, due to be located in passing route, gains importance because it transmitting rich natural gas and petrol resources existed in Central Asia and Caucasia before from Central Asia and Caucasia to Black Sea later to whole world.

Georgia gaining its dependence after collapse of Soviet Union, as a poor country, was obliged to deal with problems in all spheres, especially in economy field like unemployment, bribery, corruption, human rights abuses, education, health and security and formation and activities of CTEs developed in time and came to a state of present status with the supports of especially USA, other western countries and international establishments for settling a democracy in western sense and struggling with present crises.

In Georgia, it is seen that CTEs went into a speedy change and development period with the supports of especially USA, western countries and international establishments and showed up as an important actors for democratizing of country.

It is seen that CTEs maintaining their activities as associations, foundations and unions in Georgia are approximately close at 16.000 by date of February 2012 and are carrying out their studies in many fields such as environment, health, education, culture, human rights, the youth and women organizations.

When we look at the activities in first periods when CTEs started to form, it is seen that they have been taking tasks such as forming political agenda and contributing government about preparation of laws in this field in order to put into words studies maintaining as donor ship activities and demands of society, form public opinion immediately in the period before Rose Revolution and during the time passing till modern day, provide social peace, generalize democracy in every field, frame a management understanding in which modernization and human rights is in the foreground.

Almost every Georgian CSE depend on financing of foreign charities and they can not take any monetary assistance from government, local managements and their own registered members. Registration of philanthropic organization are made in Public Registration office which is belong to Ministry of Justice. But registrations of philanthropic organizations are being kept by Department of Finance.

It is seen that the biggest and the most active CTEs concentrated on Tbilisi, capital of country, but in other regions their numbers and activities are less and CTEs in local areas are organizing as branches of CTEs located in Tbilisi. In the areas which is out of capital,

the most of CTEs slog away on the subject of keeping qualified and professional personals because they are behindhand in terms of resources.

There are no barriers which can be counted as important about running of CTEs in Georgia laws. Registration processes are made simply and there are legislative regulations for freedom of organization. Civil society forming and membership right are guaranteed by constitution. CTEs benefit from many tax exemptions. Georgian Constitution forbade to be established society unions taking place in the activities like demolishing independence and ruining territorial integrity of country, propagandizing battle and encroaching and spoiling national, regional, religious or social traditions. Halting and forbidding activities of CTEs can be realized just by court decision.

In consequence of committed research, it has been seen that transparency level of CTEs are not adequate, they don't give information regularly about their activities to society, new members are rarely got to managements, especially members are more limited to attend an activity in proportion to managers. When we look at the present problems of CTEs in Georgia it is seen that problems like inability to gain adequate prestige in society and perception of preserving interests of just their personals and a certain part of society continue its existence because of inabilities of personnel and substructure, limiter legislative regulations, miscommunication, inability of advertising activities, lack of democracy inside of organization, problems in participation, requirement of qualified and competent person, priority giving to narrow and short term policies than conducting long term goals, inability to gain adequate prestige in society because of inability to meet expectations of society properly and perception of that kind of CSEs about protecting interest of just one certain part of society and their personnel but not overall of society.

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**Evaluating Opinions of the Students Who Prepared for The Transition to Higher Education Examination Related to Adequacy of Education That Taken by Students in Prep-School**

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**Abstract**

The purpose of this research occurs to opinions of the students who prepared for the transition to higher education examination related to adequacy of education that taken by students in prep-schools. In this research have tried to present the current situation with scanning model. A questionnaire was developed by researcher in the light of the existing literature as a data collection tool. After the validity and reliability of the questionnaire were tested survey applied in Central of Kars between on April-May 2010. Statistical analysis were conducted based on the survey that Kars, Special FEM classroom, special attention Final Prep School Magazine, Private Concepts Courses and Special Kars Solutions Prep School Magazine 248 students applied to groups of people. Educational qualification which can be measured by questionnaire consists of four dimensions. This dimensions consists of pedagogical competence of classroom teachers, classroom space qualification of teachers, preparation for higher education qualification exam administered in the classroom and the current physical competence in the classroom. As a result of gained data and analysis were evaluated the competency exam preparation for higher education implemented in the classroom, and the adequacy of the existing physical conditions in the classroom as a mid-level proficiency. Students were indicated as proficiency level the competency areas of classroom teachers. As a results; classroom students have sufficient knowledge in the field of teacher but it mentioned that it was an

intermediate level of educator features also in the physical condition of the classrooms, they have found sufficient

*Keywords:* Private Courses, Higher Education, Universty Transfer Examı, Eđitim, Turkish Education System

**Evaluating Opinions of The Students Who Prepared for The Transition to  
Higher Education Examination Related to Adequacy of Education That Taken by  
Students in Prep-School**

One of the most important factors in community development is educational institution. Training individuals in educational institution find the opportunity to continue their life more comfortable in social and economic fields. Personal development of the individual is provided with communication and social order training with each other. Therefore, education consists of starting point in the main purpose of development on the activation of a number of factors (Parlak, 2005, 23). The most important goal of education bring about terminal changes deliberately and through own lives in a continuous process of change in people's behavior (Ertürk, 1979, 12). Education is impessure adopted to people who not yet ready for social life. Also purpose is improve and bring forth give the intellectual and moral condition certain amount of physical that wanted them both the political community as a whole in children and depending upon private their occupational environmental (Durkheim, 1956. 71).

Formal training called for educational process as programmed and controlled carried out by the teachers in the school plan. According to Dewey's school has three important functions. These (Dewey, 1963, 71);

1. Provide to and simplified environment,
2. Provide to arranged a living environment as private
3. Balance the various elements in the social environment.

An important pillar of the educational process passes in schools as Dewey has stated. Children shown to schools that received education a significant part of the foundations of

adult identity. Each of the school in Turkey is part of the Turkish Education System as a cog in the machine. Experienced rapid population growth and urbanization in Turkey have increased the need for universities. When this current needs and limited resources tried to resolve students take the exam within a race and students are forced to get high scores from these exams. Students and their parents who wanted to get high scores in examinations were prompted to new quests often because of inadequate education that taught in public schools. Therefore, 60% of students and 68% of the parents considered that it won't win to university without prep-school (Ministry of Education, 2009).

As a result, it appeared that the common classroom education agency and its spreading rapidly undertaken some of the tasks of schools. Today, private courses have become a common educational institution operating in every province and in almost every county (Temel, 2002, 33). The aims of the private courses are as expressed in Article 6 of the Regulation of Type of Private Courses Students (Özdebir, 2005, 13);

- a. To train from their course that weak and raise the level of information,
- b. To prepare entrance exam of a high school
- c. Research and analysis in order to advance in certain areas, provide the necessary facilities and environment, identify and encourage such students. in accordance with interests and skills to students who want to specialize

These institutions have accepted can be solved through private courses occurred negative results inequalities arising from the education system. For students who with incomes above a certain level can be highly paid and the control of remote private lessons

it emphasized furthermore, in case of the closure of private courses in this way it expressed that it will further increase existing inequalities.

In this case it argued that in addition of tax loss of state and it will increase apparently (Doğan, 2002, 72). Ministry of Education approves to in the presence of private courses and disadvantages of continuing the education system until it is completely resolved but they are argued that the closure of these institutions. In case of the elimination of the causes that led to the emergence of private tutoring.

While private courses were discussing within Turkish Educational System the presence of some other countries in the classroom shows as looking at the world. Private courses continues its activities even the world's richest countries such as Japan, United States, Greece. There are private tutoring occurred for themselves better training and learning outside of school and they can better themselves (Temel, 2002, 54). The existence of private tutoring that arising from the need for private courses to better learning and themselves better training to people outside of school system is a social reality in many countries (Erdogan, 2002, 167).

### **Materials and Methods**

The work universe of the research constitutes in the position of graduate students in senior high school students went to preparatory courses in the academic year 2009/2010 in Kars. Reason to choose of work choosing between graduated students who the high school last class status it is considered to these students will be more objectives and clear in filling the questionnaire that to be implemented. Students the solution based on taking sample when shortages and financial difficulties considering due to the number of students.

The questionnaire is developed Cenk (2005) used as data collection tool. The first part of the data collection tool that in accordance with format of the research, and modified is designed to measure students' personal information and this part consists of argument of the measures tool. The second part of the DEY survey form is designed to measure students' proficiency of the training they receive in the classroom and the dependent variable in this section consists of a measurement tool.

(MONE) According to information gained from the data of Ministry of National Education Rrovince is no classrooms throughout the country. There are a total of 81 provinces in 4183 classroom activities. Three great provinces are in the first place in terms of number of pre-school. According to the data, İstanbul is be placed on the top with 697 pre-school following this Ankara (506) and Izmir (197). In Kars, according to information from the Provincial Directorate of National Education there are a total of 9 classrooms. This is one of them is in the Kağızman one of them is located in the Sarikamish. The remaining of 7 tutoring located in Central of the Kars. Only 4 out of the tutoring operating centers in Kars teaches a course devote to OSS (YGS, LYS). The masses constitute the universe of research work due to the situation with graduate students in the final year of high school students studying in Kars cluster sampling rate of 4 tutoring within the specified below will be selected by sampling method. These classrooms: Private Kars Solutions Frontpage Magazine, Private Concepts Courses Kars Branch, Special Nilay Euphrates Training Center (FEM) Courses, Private Ozen Final Frontpage Magazine.

Reached universe of the work is 674 students. Table1 given to pre-school located in Kars number of the students who prepared higher education. Sample of second step determined after universe of the work determined. Ural and Kılıç (2005, 43) had applied

for this. If universe of the work is 700 the sample is sufficient to be 248. In this respect, cluster sampling rate held graduation students will sample the situation as shown in Table 1 (the time to go to the classroom; weekday or weekend) is divided according to certain rates.

**Tablo 1:** Distribution of Sample and Universe of the Works and Research

Prep School's Name	Distribution of The Numbers of Students Consists of Universe of The Work						Distribution of The Numbers of The Students Consists of Samples					
	WD*		WE**		Total		WD*		WE**		Total	
	f	%	f	%	F	%	f	%	f	%	f	%
<b>Private Kars Solution Magazine</b>	38	5,6	50	,4	<b>88</b>	<b>13</b>	14	5,6	18	7,4	<b>32</b>	<b>13</b>
<b>Private Concept</b>	34	5,1	60	9	<b>94</b>	<b>14,1</b>	13	5,1	22	9	<b>35</b>	<b>14,1</b>
<b>Private FEM</b>	140	20,7	164	24,3	<b>304</b>	<b>45</b>	52	20,7	60	24,3	<b>112</b>	<b>45</b>
<b>Private Özen Final Magazine</b>	85	12,6	103	15,3	<b>188</b>	<b>27,9</b>	32	12,6	37	15,3	<b>69</b>	<b>27,9</b>
<b>TOTAL</b>	<b>297</b>	<b>44</b>	<b>377</b>	<b>56</b>	<b>674</b>	<b>100</b>	<b>111</b>	<b>44</b>	<b>137</b>	<b>56</b>	<b>248</b>	<b>100</b>

\* WD: Weekdays Course Groups      \*\*WE: Weekend Course Groups

Data of the research was collected under 20 expression in 4 sizes (proficiency of field knowledge of teachers, Proficiency of Teachers' pedagogical formation Proficiency of physical environment of prep school, Proficiency of preparatory works to higher education examination).Dimensions of field knowledge of teacher formed from expression

2, 5, 9, 13, 18 number. Proficiency of pedagogical formation of teacher from other dimensions formed from expressions 1, 6, 10, 14, 17 number proficiency of physical environment to prep school formed from expressions 4, 8, 12, 16, 20 number and Proficiency of preparatory works to higher education examination formed from expression 3, 7, 11, 15, 19 number.

Developed research survey applied to specified sampling. The value Cronbach-Alpha of the survey was calculated as 0,77. This result shown that Dey survey is to be quite reliable. Value of Cronbach' alpha both all survey and sub-dimension are shown. Accordingly Dey survey as value of Cronbach-Alpha both dimension and all of survey Özdamar' (1997, 500) noted that " $0.60 \leq \alpha \leq 0.80$  survey very reliable "has emerged.

**Table 2:** Cronbach-Alpha Coefficients of Sub-Dimensions and All of Dey Survey's Sub Dimensions

Sub-Dimensions	Metarial about Dimensions	Cronbach-Alpha coefficients
<b>Proficiency of Pedagogical Formation</b>	1, 6, 10, 14, 17	0.79
<b>Proficiency of Field Information</b>	2, 5, 9, 13, 18	0.73
<b>Profficiency of Pyhsical Environment of Prep School</b>	4, 8, 12, 16, 20	0.78
<b>Proficiency of preparatory works to higher education examination</b>	3, 7, 11, 15, 19	0.76
TOTAL TO WHOLE OF SURVEY	1-20	0.77

### Findings and Interpretation

#### Statistics Belonging to Expression that Consisted of Sub-Dimensions' DEY Survey.

In Table 3 located in the average and standard deviation of students participate levels on the basis of dimensions. It found that field knowledge dimension with average

3.45 as ‘‘I agree’’ Dimensions of Prepare to Exam and Pedagogical Formation with average 3,31 and Dimensions of Physical Environment with average 3,17 as I partially agree. Accordingly, While last year high school students who going to preparation course to universty in Prep-School of Kars and in the position of graduated students field knowledge of teacher who worked prep school were indicating to be ‘‘sufficient in advanced’’ pedagogical formation, works preparation to exam and physical environment that existing in prep-school indicated to be ‘‘sufficient in intermediate’’.

**Table 3:** Descriptive Statistics of Sub- Dimensions Relate to Perspective of Students

Participation Level Dimensions	I partlyagre	I dont agree	I partlyagre	I agree	I definetly	$\bar{X}$	..S.
	%	%	%	%	%		
Pedagogical Formation <b>1, 6, 10, 14, 17 number expressions</b>	7,8	13,6	33,7	27,9	16,9	<b>3,31</b>	0,94
Field Knowledge <b>2, 5, 9, 13, 18 number expressions</b>	7,1	12,1	27,1	34,4	18,8	<b>3,45</b>	0,78
Works of Preperation to Exam <b>3, 7, 11, 15, 19 number expressions</b>	1,8	17,6	19,6	27,8	22,5	<b>3,31</b>	0,64
Physical Environment	11,8	15,7	29,7	28,4	14,3	<b>3,17</b>	0,68

<b>4, 8, 12, 16, 20 number expressions</b>							
TOTAL	9,6	14,7	27,5	29,6	18,3	3,31	0,76

**Relation Between Efficacy Perceptions of Education That Students Received in Prep-School and Sexs of Students.**

In table 4, female students indicated a ( $\bar{x}$ :3.32) as profficiency of the teachers' pedagogical formation male students indicated ( $\bar{x}$ : 3.30) as "sufficient in intermediate". In the other words, analysis of students stated as " I partly agree" about proficiency of teachers' pedagogical formation. In results of t test did not find a meaningful difference according to the sex in proficiency of pedagogical formation dimensions. Proficiency of Field Knowledge dimensions found a meaningful difference according to the sexes. While female students was finding " sufficient in advanced ( $\bar{x}$ : 3.54)" Field knowledge of teacher . male students found as "sufficient in intermediate ( $\bar{x}$ : 3.36)". Perspective of male students about proficiency of teachers' field knowledge lower that female students. In the other words male students relation to their own field proficiency of teachers who worked in prep school found lower than female girls. It occured that female students, field knowledge of teacher in prep school is higher than male students it can be explain due to many of the teachers who worked in prep-school are male female students can be more motivate easily to lessons than male students.

**Table 4:** Relation between Sexes of Students and Their Perspectives of Proficiency of Education That Taken by Them in Prep School

Dimension	Sex	f	$\bar{x}$	s.s	t	p
Proficiency of Pedagogical Formation	Male	113	3,30	0,722	0,100	0,921
	Female	135	3,32	0,668		
Proficiency of Field Knowledge	Male	113	3,36	,762	2,146	0,033*
	Female	135	3,54	0,532		
Proficiency of Physical Environment of Prep-School	Male	113	3,24	,720	1,453	0,148
	Female		,10	0,618		
Preperation to Higher Education	Male	113	3,32	0,648	0,145	0,885
Proficiency of Their Works	<b>Female</b>	<b>135</b>	<b>,30</b>	<b>0,666</b>		

\*: Value that shown meaningfulness in  $p \leq 0,05$  levels

*Dimension of Proficiency Of Physical Environment in Prep-school didn't find a meaningful difference according to the sexes. Female students indicated that Proficiency of Physical Environment in Prep school as ( $\bar{x}$ : 3.10), and male students indicated as ( $\bar{x}$ : 3.24) ‘‘proficiency of intermediate’’. In other words, Analysis of students about proficiency of physical environment in prep school is shape of ‘‘I partly agree.’’ Proficiency of Preperation to Higher Education Exam in dimensions didnt find a meaningful difference according to the sexes.*

**Relations between Perspective of Proficiency Education That Students Taken in Prep School and Students’ State of Education**

As a result of t test that made in Table 5 it didnt find a meaningful difference between dimensions. Average of students answers what given five point likert questions ranges from ( $\bar{x}$ ): 3.11 and 3.40. Accordingly, students attending secondary education are (

$\bar{x}$ : 3,35) and in the position of graduate students are ( $\bar{x}$ : 3,29) find that ‘sufficient in intermediate ‘ proficiency of teachers’ pedagogical formation in prep-school. Students attending secondary education are ( $\bar{x}$ : 3,40) and in the position of graduate students ( $\bar{x}$ : 3,38) find that proficiency of teachers’ field knowledge in prep school ‘sufficient in intermediate’.

**Table 5:** Relation Between Perspectives of Proficiencies’ Education that Taken them in Prep School and State of Students’ Education (t test)

Dimension	State of	f	$\bar{x}$	s.s	t	p
Proficiency of Pedagogical Formation	Student	137	3,29	0,675	<b>0,609</b>	0,543
	Graduate	111	3,35	0,713		
Proficiency of Field Knowledge	Student	137	3,40	0,686	<b>0,472</b>	0,637
	Graduate	111	3,38	0,610		
Proficiency of Physical Environment in Prep School	Student	137	3,11	0,674	<b>0,642</b>	0,52
	Graduate	111	3,20	0,667		
Proficiency of Work Preparation to Higher Education Exam	Student	137	3,27	0,676	<b>1,005</b>	0,316
	<b>Graduate</b>	<b>111</b>	<b>3,36</b>	<b>0,635</b>		

Students attending secondary education ( $\bar{x}$ : 3,11) and in the position of graduate students ( $\bar{x}$ : 3,20) indicated as ‘proficiency of intermediate’ proficiency of physical environment in prep school. Students attending secondary education ( $\bar{x}$ : 3,27) and in the positions of graduate students ( $\bar{x}$ : 3,36) indicated as ‘Proficiency of intermediate’ preparation to works that applied in prep school. Accordingly, Students of prep school evaluated as ‘I partly agree’ all dimensionf that consists of Dey survey.

**Relation between Proficiency of Education’s Perspective that Students Taken in Prep School and High School Succes Status of Students.**

The LSD-test results made in Table 6, while Proficiency of physical environment in prep school and proficiency of pedagogical formation dimension were finding a meaningful difference according to their highschool succes status, Proficiency of Work Preperation to Higher Education Exam and Proficiency of Field Knowledge dimensions was not find a meaningful difference according to their highschool succes status. . The average of the answers five point likert questions of students ranges from  $\bar{x}$ : 2.58 ile 4.30.

Students of prep school in their highschool success status according to well, medium and low grade average of the pedagogical formation of teachers' prep school is between ( $\bar{x}$ ):2.80 and 3.32.Accordingly, students who been well, middle and low high school succes grade proficiency of prepschool's teacher of pedagogical formation is shape of "I partly agree in the other words, profiecy of pedagogical formation indicated as 'profiecnry of intermediate'". Students of prep school who been passing grade in highschool success status found as "I dont agree" that ( $\bar{x}$ ): 2,58 average of proficiency of pedagogical formation in prep school and students who taken passing grade indicated as 'proficiency of low level' to proficiency of teachers' pedagogical formations. Students who passing grade in high school succes status and attending to prep school found as insufficient and deficient proficiency of prepschool teachers' of pedagocik formations. Students of prep school who been excellent grade in highschool succes status opposing to students of prep school who been passing grade in secondary education is on shape of " I agree" with numerical value ( $\bar{x}$ ): 3.57 on the other words, students who been excellent grade indicated as "proficiency of advanced " average of proficiency of teachers' pedagogical formation. Accordingly, students who been excellent grade in high school and attending to prep school

found as highly sufficient and well proficiency of prep school teachers' pedagogical formation .

**Table 6:** Relation Between Perspective of Proficiency of Education that Students' Succes Status in Highschool and Education of Prep school (LSD Testi)

Dimension	Succes Status	f	$\bar{x}$	s.s	F	p
Proficiency of Pedagogical Formation	Excellent	48	3,57 *	0,559	<b>5,750</b>	0,000*
	Well	134	3,31	0,698		
	Middle	50	3,32	0,673		
	Passing	10	2,58 *	0,812		
	Low	6	2,80	0,218		
Proficiency of Field Knowledge	Excellent	48	3,61	0,694	<b>0,998</b>	0,409
	Well	134	3,44	0,636		
	Middle	50	3,43	0,682		
	Passing	10	3,42	0,669		
	Low	6	3,50	0,490		
Proficiency of Physical Environment in Prep School	Excellent	48	3,32	0,740	<b>8,317</b>	0,000*
	Well	134	4,30*	0,594		
	Middle	50	3,05	0,710		
	Passing	10	2,84	0,383		
	Low	6	2,90	0,395		
Proficiency of Works Preperation to Higher Education Exam	Excellent	48	3,36	0,804	<b>1,278</b>	0,279
	Well	134	3,27	0,608		
	Middle	50	3,34	0,522		
	Passing	10	3,10	1,136		
	<b>Low</b>	<b>6</b>	<b>3,40</b>	<b>0,415</b>		

\*: Value that shown meaningfulness in  $p \leq 0,05$  levels

*According to students of the prep scholss in high school succes status excellent, middle, low grade avarege of the profiency of physical environment of prep school is between ( $\bar{x}$ ): 2.84 and 3.32. Accordingly, students who been excellent, middle, passing, low grade in highschool their succes status profiency of physical environment of prep school is in shape of ‘‘I patly agree’’ on the other words, profiency of physical environment in prep school is in the shape of ‘‘I definetly agree’’ as numeric data ( $\bar{x}$ ): 4.30. Students who have well grade in the secondary education indicated as ‘‘profiency of ultimate’’ to profiency of physical environment in prep school. As a result of this between students who have well grade in prep school can be evaluated physical environment in prep school more suitable and extremely sufficient than other students.*

#### **Relation between Efficacy of Education that Students Received in Prep School and Point Type of the Students Who Prepare to Higher Education Entrance Exam**

In result of LSD test that made in Table 7 each of the sub dimension found a meaningful difference. Avarage of students’ answer that given to five point likert questions changes between ( $\bar{x}$ ): 2.07 and 3.87.

Relate to perspevcives of profiency of pedagogical formation of teachers’ prep school is in shape of ‘‘I partly agree’’ students who prepared to higher education point type of equal weight ( $\bar{x}$ : 3.31) and verbal ( $\bar{x}$ : 3.18). Level of profiency indicated as ‘‘sufficient in intermediate’’. But students who prepared with numeric point type ( $\bar{x}$ : 3.80) to higher education is shape of ‘‘I agree’’ about profiency of teachers’ pedagogical formation in prep schools Levels of profiency is ‘‘profiency of ultimate’’.

Perspective of students who prepared to verbal ( $\bar{x}$ : 3.22) and equal weight point types ( $\bar{x}$ : 3.33) is in shape of "I partly agree" about proficiency of their own fields of teachers' prep school. Level of proficiency indicated as "proficiency of intermediate". Although their perspective of students who prepared with numeric point type ( $\bar{x}$ : 3.87) to higher education is in shape of "I agree" about proficiency of their own fields of teachers' prep school. Levels of proficiency is in shape of "proficiency of ultimate".

According to point type of students' prep school who prepared to higher education when perspective of students about physical conditions in prep school looked at average of proficiency students who prepared to both point type of numeric and verbal is shape of ( $\bar{x}$ : 3.42) for two fields. It occurred that they agree with proficiency of physical condition in prep school to both numeric and verbal students. According to the student participants of numeric and verbal department levels of proficiency of physical conditions in prep school are in shape of "proficiency of ultimate." Scarcely perspective of students who prepared equal weight point type ( $\bar{x}$ : 2.07) for higher education are in shape of "I don't agree" about proficiency of their own field of teachers in prep schools. Levels of the proficiency are shape of "proficiency of low level". Numeric and verbal of students in the prep school while they were finding suitable and sufficient as physical environment, equal weight of students can not find suitable and sufficient as physical environment of prep school.

Perspective of students who prepared with verbal and equal weight point type to higher education are in shape of "I partly agree" about proficiency of the works preparation to higher education exam. Levels of proficiency indicated as "proficiency of intermediate." But perspective of students who prepared with numeric point type ( $\bar{x}$ : 3.79) are shape of

“I agree” relate to proficiency of the works preparation to higher education and levels of the proficiency are in shape of “proficiency of intermediate”.

**Table 7:** Relation Between Point Type of Students Who Prepared to Higher Education and Perspectives of Proficiency of Education that Taken by them in Prep School (LSD Test).

Dimension	Point type	f	$\bar{x}$	s.s	F	p
Proficiency of pedagogical formation	Numeric Point	31	3,80 *	0,572	<b>9,963</b>	0,000 *
	Verbal Point	97	3,18	0,728		
	Equal Weight Point	120	3,31	0,638		
Proficiency of Field Knowledge	Numeric Point	31	3,87 *	0,580	<b>15,522</b>	0,000 *
	Verbal Point	97	3,22	0,608		
	Equal Weight Point	120	3,33	0,571		
Proficiency of Physical Environment in Prep School	Numeric Point	31	3,42	0,662	<b>3,929</b>	0,021 *
	Verbal Point	97	3,42	0,665		
	Equal Weight Point	120	2,07 *	0,660		
Proficiency of Works Preperation to Higher Education Exam	Numeric Point	31	3,79 *	0,596	<b>12,650</b>	0,000 *
	Verbal Point	97	3,14	0,704		
	<b>Equal Weight Point</b>	<b>120</b>	<b>3,32</b>	<b>0,570</b>		

\*:  $p \leq 0,05$  düzeyinde anlamlılık gösteren değer

## **Discussion, Results and Suggestions**

### **Discussion**

In Cenk's research (2005) students of private prep school is thought to be sufficient to works that prepared to universty exam in prep achool. This research is reached to same results Accordingly students of prep school is thinking to be sufficient works tha tprepared to university exams regulated in prep school without difference between male and female students. Cenk in same research again reached to satisfied from teached lesson in prep school for students of prep school. This research reached same results and students of prep school indicated as to be sufficient both filed in teachers and level of pedagogical formations. According another results achieved Cenks research students of prep school are satisfied from physical environment of prep schools where going to students. A similar result was also found in this research and students of prep school found that physical environment of prep school in Kars without sex discrimination.

In Özgüven's research (1977), determined dramatically increase points of students that taken in univerty entrance exam. A similiar result reached with Morgil and others research that they did in 2000.Morgil and others reach the end of affected their success regarding to positive impact in universty entrance exam of students.An another similiar result occured in researh of Duman that did in 1986 again. Duman in his research determined that students are taught the more testing techniques in prep school and gained the ability to use in the work sthat done in the exam. When the results of the three studies looked private prep schools helps for students in universty entrance examinations and it emerged that increase succes of exam to students. As a result of this.

Quality of education will increase in prep school in Kars with protecting to side of prep schools' strong (sufficient) and improving to side of prep schools' weak (insufficient). Beside Kars will be city that can grow up successful students with rising of average of the students who won universty exam. Education proficiency is comparable with similar research that can be done in other provinces for supported and improved of this research.

A research can be veri over reasons of go to prep school to students in Kars improving to more different surveys. As similar research can be performed in secondary education institution, research can be veri in direction to teachers of school and prep school and parents instead of only students. Thus, in many subjects can find generalisation and can reach detailed judgements.

## **Results**

It can suggest that requiring benefited from resources out of formal education in short-term (take private lessons, going to private prep schools) when there is no adequate facilities and opportunities that creates to formal education, supporting to taken education in schools and to students can be more successful in Transition to Higher Education Examination.

Also in log term can be suitable this suggestions to existing system or consist of new program and their development can help in variable fields (social, cognitive, personality, vocational, etc.) that in secondary education institutions to their education that taken in prep school not suitable for the in the case of provision to principle of equality of opportunity in education

Students of prep schools who prepared to Transition to Higher Education Examination; perspective of them generally “proficiency of intermediate” about proficiency of teachers’ pedagogical formation. Teachers of prep schools must improve themselves and they must resolve their deficiency in fields of pedagogical formation for this. Perspective of students are “proficiency of advanced” level generally about proficiency of prep school teachers’ field knowledge. This situation occurred that teachers have fund of knowledge in their own field at highly sufficient levels. Perspective of students is generally “proficiency of intermediate and ultimate” levels about works of preparation to exam applied in prep school. Prep schools must do more exam and more trial test while students were preparing to exams and they must be increased works direction to exams. Students of prep school who prepared to Transition to Higher Education Examination perspectives of students are “proficiency of intermediate” generally about physical substructure of prep schools. Accordingly prep schools must be regulated more serviceably to education the existing classrooms, etude rooms and general fields. The four dimensions that consist of DEY survey (pedagogical formation, field knowledge, works preparation to exams, existing physical sub-structure levels of students is generally “proficiency of intermediate” result of evaluated by students of prep school. Prep schools and teachers of prep schools should be done for research and they have deficiency in four dimension and they must resolve this deficiencies.

### **Suggestions**

According to interferences from answer that given expression in Dey Survey to Proficiency of Education in Prep School following suggestions have been developed:

- a. to be wont preventing level education in class sizes of prepschools

- b. the use of teachers' prepschool and suitable techniques, methods and education strategy each of lessons
- c. To give important of teachers in same degree to all of students
- d. Not carrying to lesson teachers' problem in daily life
- e. Use of requiring metarials for teachers ( can adress to sense organs)according to content of lesson
- f. Go off the subject of teachers unlessit not required
- g. Making to pilot tests in prep schools adequately
- h. Building, class, etude rooms canteen where have prep schools having to be proficiency can fulfil needs level in physical environment
- i. Resolving to sample tests often about the subjects out of pilot test both during the lessons and out of lesson in prep schools
- j. To be a high level of proficiency, ventilation and lighting, heating in other areas in class and prep schools.
- k. Practing to carefully lessons (introduction, motivation, enhancement, give homework, conspicuousness) for teachers
- l. Followint to teachers about their own field current affairs and updating to existing fund of knowledge.,
- m. In prep schools can be offered use of sufficient levels to ultimate technology tools (video, projection, computer etc.).

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**PERFECTIONISM AND ACHIEVEMENT GOALS IN PROFESSIONAL  
TURKISH ICE HOCKEY PLAYERS**

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**Abstract**

This work has been done determining to relations between achievement goals and perfectionism of Professional Ice Hockey Players in Turkey. Research has been done with screening model. Sample of research composes from 133 ice hockey players who played Super League of Ice Hokey in Turkey. In data collection was applied with 2x2 achievement goals in sport and Particular to Sport Multidimensional Perfectionism Scale. Results of research shown to a positive and significant relation between personal standards of perfectionism and all subscales of achievement goals. Results of research supported that perfectionism is not negative entirely and supporting to opinion that can be adaptation in the dimensions.

*Keywords:* ice hockey, perfectionism, achievement goals

## **PERFECTIONISM AND ACHIEVEMENT GOALS IN PROFESSIONAL TURKISH ICE HOCKEY PLAYERS**

Human wants to conclude with success every job that they did as a matter of human nature. Following to this success lies down that performance increase and method development about this work done. Our work done evaluated by both business environment and family and social environment in every period of life. Concordantly, individual feels to impulses like exhibit better performance and gaining to higher success. Reward method that found within branch of sport plays to an important role in the emergence of this impulse.

Perfectionism leads to increase of anxiety relate to competition and one of the factors that led to increasing attentions and awareness is perfectionism personality structure about their own in success environment (Frost, 1991). Beside perfectionism in the sports began to study since the 1990s. Most sports psychologist sports also accepted that there is a perfectionist type of personality and they mentioned that perfectionism plays a transducer role in higher-up competition. (Anshel M H, Hardy L, Jones J G, Gould D and Henschen K)

Hardy and his friend (Hardy L.) mentioned that to be perfectionism of the best athletes around the world and their perfectionist tendencies were able to cope with in a positive direction and it will facilitate the performance of these tendencies and direct to it will help their developments.

‘‘Perfect’’ and ‘‘Perfectionism’’ concepts use of refers to characteristic of athletes and the quality of sport performance in sport environment (Zinsser N, Bunker L, Williams

J M). Interested with their own and all the attention is directed to them can be a cause of anxiety at a high level for some of athletes in the competition environment. Perfectionism leads to increase of anxiety relate to competition and one of the factors that led to increasing attentions and awareness is perfectionism personality structure about their own in success environment (Frost RO).

People occurs that they who considering the need to achieve the very high standards of performance, psychologically devastating aspects of perfectionism shortly cannot adapted aspect of perfectionism and not satisfied with anything less than performance they considered as perfect and there are believing people that mistake should not be done. A perfectionist person considers that any success is not be gratification. Another way of defining a perfectionist person, even the smallest details of a project shown that as separating to extreme amount of person's energy and take time off (Kagan S, 2006).

There are mindscape that protecting their perfectionisms of a perfectionist person. One of the most common disorders of perception perfectionist people is way of "all or nothing" thinking. Because of all or nothing thinking tendency, Individuals usually can be seen depression, anxiety and anger depending on focal point of ideas (Erözkan, 2009).

Sufficiency concept comes to forefront in studies about achievement goals. Sufficiency has been identified according to standards or reference that used in the performance evaluation. Three different standards are determined: Absolute, Intrapersonal and Normative. Absolute standard also has been identified as task reference standard. Sufficiency identifies according to requirements of task. Intrapersonal is defined as person-reference standard. Sufficiency is defined according to advances in performance, skills and knowledge development. Normative standard is defined as another person-reference

standard. Sufficiency is defined according to perform better than other people (Morris & Kavussanu, 2008, 465 – 476). So, sufficiency can be evaluated and defined depending on according to whether the person become skilled in a task or not (absolute standard) whether performance of person developing or not (Intrapersonal standard) or whether perform better than another person or not (Barlets, 2007, 246–259; Elliot and McGregor, 2001, 501–519).

Achievement goal is considered as cognitive-dynamic focus (Elliot, 1997, 243-279) or purpose of behavior related to skill (Maehr, 1989, 299– 315) and two target format focus on. This two target format are Target of Mastership (Task tendency and Target of Learning) and Target of Performance (Ego tendency, targets of result) (Dweck, 1986, 148–156; Nicholls, 1984, 328–346). Two target that defined in binary target structure consist of depending on definition of sufficiency. In the other words, target is described depending on whether target definition or not according to sufficiency of person their own or another person-reference scales (Morris and Kavussanu, 2008, 465 – 476).

Different results emerged in effects of achievement goals and perfectionism in works that evaluating to affect experienced anxiety before competition. For example Frost and Henderson (1991) in first study that evaluated perfectionism in the sport environment occurred to be relation between negatively ‘’sporty trust’’ and positively ‘‘continuous anxiety about competition’’ and subscale of ‘‘deal with mistakes’’ in perfectionism (Frost RO).

Hall and his friend (1998) found in studies that their evaluating effects of experienced anxiety before competition perfectionism, success motivation, and perceived

sufficiency that general perfectionism is to be a significant predictor consistent of experienced cognitive anxiety before competition (Hall).

Beside it seen that perfectionism that cannot adapt is to be the most significant predictor cognitive anxiety before competition (deal with mistakes, suspecting from actions and effect of family) also dimension of suspecting from actions is to be the most significant predictor of somatic anxiety. Beside it found that dimension of extreme deal with mistake in perfectionism have an important impact feelings about performance, if general perfectionism have not an important affect over “somatic anxiety” and “self-confidence” it have an important affect over cognitive anxiety, also “dimension of suspecting from actions” have an important affect over all scales of anxiety. Also it occurred that subscale “personal standard” of perfectionism is to be the most important predictor of “self-confidence” (Hall).

It considered that a perfectionist person have an affect both strong and a week in sportive competition. Sportive competition is a process which made a remark constantly. Athletes are constantly evaluated by not only their own teammates, coaches, authorities, supporters, opponent and another people but also themselves. Each performance that evaluated is a position of risk to be the probability of this occurrence failures rather than successful for perfectionists athletes. Because of that it is not surprise that perfectionist person carries with risk. Athletes determine to very high standards of performance in competitions due to excessive demands from both other people and oneself (Frost, 1990).

When works that done in sport psychology about perfectionism evaluated seen that relation too many factor like target tendency (Dunn) and fear of unsuccessful (Kagan S, Sagar SS) and exhaustion (Gould, Hill), and exercise dependency behavior (Hall 2007,

Coen 1993), and achievement goals (Stoeber 2007), of perfectionism particular to sport. As seen from the above sample of study seen that a so many researches are done about perfectionism, achievement goals and anxiety in abroad but works is to be limited especially about ice hockey player and particular to field perfectionism in our country. Due to the educational system, a number of players don't have body training and sport courses, and they have taken all behaviors they learned for the sport from clubs or national teams. In these cases, individual experience problems about the wrong and true perception. (Kurudirek, 2015) The searches shown us ice hockey is played with high violence and it should be speed, agility, muscular strength and endurance with anaerobic and aerobic endurance at high-level (Krause and his friends). The role of perfectionism and achievement goals constitutes the basis of this study in successfully realization of physiological activities of all of high-level.

### **Sample of the Search**

The population of research is Professional Ice Hockey Players. Sample of research composes from 133 ice hockey players who played Super League of Ice Hokey in Turkey between 2008-2015 years.

### **Data Collection Tools**

**Sport Multidimensional Perfectionism Scale:** Multi-dimensional Perfectionism Scale- Football developed by Dunn and his friends and it is a form of generalized in the other sport branches. Scale is to be developed by Frost and his friend basing upon Multi-Dimensional Perfectionism Scale .Scale is a self-evaluating scale in five point likert scale. The validity and reliability study of the scale are done by Çepikkurt (2011). A structure has emerged composed of 19 item and 3 sub-factor that explaining 46.2% of the total

variance after varimax rotation that done purpose of scale item determined by Çepikkurt (2011). "Perceived ram pressure" subscale in which original scale seen that not operating of Turkish athlete population.

Multi-dimensional Perfectionism Scale- Football that presented by Dunn and his friend it was applied to 174 high school Canadian student. Results of Explanatory factor analysis brought into open a four sub-scale structure that consisting of 30 item relate to sport. This dimensions have been referred as family pressure (9 item), personal standards (7 item), extreme deal with mistakes (8 item), perceived ram pressure (6 item). Internal consistency coefficients of Multi-dimensional Perfectionism Scale- Football is over 70 and acceptable level for all of subscales. Scale explains 51% of the total variance. Multi-dimensional Perfectionism Scale- Football that development by Dunn and his friends on 2006 applied for providing usable in out of football and another sports and to test the construct validity, new sample have been applied consisting of skating athletes, football, ice hockey, team sports. Results of confirmatory factor analysis although Multi-dimensional Perfectionism Scale- Football supporting, personal condition, extreme deal with mistakes, perceived family pressure and perceived ram pressure reveals that measure to subscales four factor. Scale are used extensively in works that handling to perfectionism particular to sports.

**2x2 Achievement Goals Questionnaire for Sport- 2x2 AGQ-S**), developed by Conroy, Elliot and Hofer (2003,456-476) basing on Achievement Goal Theory. Achievement Goals Questionnaire for Sport- 2x2 are translated by Kazan Çetinkalp (Çetinkalp) consist from four subscale and 12 item. Mastery- avoidance, mastery- approach, performance- avoidance, and performance- approach located in inventory four

Achievement Goals. Scale is form of septet likert type from ‘‘I definitely agree’’ to ‘‘I never agree’’. Fit indices relate to Inventory achievement goals in sport 2×2 are calculated as  $X^2/df = 128.14/43 = 2.98$ , RMSEA= 0.066, CFI= 0.98, GFI= 0.95 and NNFI= 0.96 when confirmatory factor analysis results related to made on the adaptation of the scale are evaluated. Mastery-approach, mastery-avoidance, performance-approach and performance-avoidance internal consistency values were in order of .94, .75, .88 and .73 about subscales. Consequence of analysis shown that scale to be usable for Professional Turkish Ice Hockey Players.

### **Data Collection**

Data’s was collected with survey methods and collected from Professional athletes who played in ice hockey team in Kocaeli, İstanbul, Erzurum, Ankara, İzmir within the context of activities program of Turkish Ice Hockey Federation between 2008-2015 years. Scales were applied collectively for athletes who located in National Team Player Pool and for club athletes who accepted to participate to this study.

Multidimensional Perfectionism Scale- Sport and 2x2 Achievement Goals Questionnaire for Sport have been applied by researcher in the ahead of World Championship Group Competition (2015) and the ahead of First League Play-off Competition and Super League Turkey Ice Hockey.

### **Analysis**

Relations between points that taken Sport and 2x2 Achievement Goals Questionnaire for Sport and Multidimensional Perfectionism Scale- Sport have been evaluated with Pearson Moment Correlation Analysis. Data’s analysis have been realized to using SPSS’ version 11.5 from the statistical package program in computer.

### Findings

Results of Pearson Moment Correlation Analysis are presented in Table 1 conducted to determine the relationship between perfectionism and achievement goals of Professional Turkish Ice Hockey Players.

	a	Mean	s	Correlation						
				1	2	3	4	5	6	
1. PS	.66	3.04	.56							
2.EDM	.71	2.41	.56	0.42***						
3. PFP	.78	2.43	.66	0.39***	0.52***					
4. MP	.52	2.26	.13	0.45***	0.48***	0.67** *				
5. PA	.73	3.39	.78	0.46***	0.41***	0.25**	0.23*			
6.MA	.77	3.14	.71	0.48***	0.55***	0.45** *	0.44***	0.29**		
7. PA	.66	3.08	.88	0.33***	0.34***	0.51** *	0.46***	0.25**	0.37 ***	

\*P<0.05, \*\*P<0.01, \*\*\*P<0.001  
 (PS: Personal Standards EDM: extreme deal with mistakes, PFP: Perceived Family Pressure, PA: Performance Avoidance, PA: Performance Approach, MA: Mastery Avoidance, MA: Mastery Approach)

Personal Standard subscale that accepted as can be adapted Multidimensional Perfectionism Scale-Sport and all of subscale 2x2 Achievement Goals Questionnaire for Sport are found positive and meaningful relations .Subscales of deal with mistake that accepted as dimension that cannot adapt to perfectionism subscales of performance approach and mastery avoidance are found positive and meaningful relations between them. Subscale of family pressure that accepted as dimension that cannot adapt to perfectionism and all of subscales performance approach and performance avoidance are found positive and meaningful relations between them.

## Discussion

Results of Pearson Correlation Analysis done purpose of determining relation between Achievement Goals to sport and perfectionism of sport. Multidimensional Perfectionism Scale-Sport that can adapt as dimension and personal standard subspace and 2x2 Achievement Goals Questionnaire for Sport are found a positive and meaningful relations between them (Table 1). It found a positive and meaningful relation between subscale of extreme deal with mistake that accepted as dimension that cannot adapt to all of subscales perfectionism and performance avoidable and performance approach and mastery approach 2x2 Achievement Goals Questionnaire for Sport also it found positive and meaningful relations between subscales of perceive family pressure of perfectionism with performance approach and performance avoidance.

This findings that occurred to relate between Achievement Goals and dimension of personal standards of perfectionism provided to expectations that it would show a negative relationship in avoidance targets and dimension of personal standards provided to positive expectation. This research's findings "effort to reach of perfect" that accept them as dimension of perfectionism that can adapt and found by Stoeber and his friend, and it found positive and meaningful relations between "mastery approach" of achievement goal and "performance approach" (Stoeber J 2009)

Another findings that gained in research shown that it found a significant and meaningful relations between subscale of extreme deal with mistake that accepted as dimension cannot adapt to perfectionism and subscale of mastery avoidance that accepted as dimension of achievement goal that cannot adapt, dimension of performance avoidance

and performance approach. This result can interrupt that unsuitable target can determined by ice hockey players that lodge in their mistake and increased to even the smallest mistakes and concerned about their behaviors. Athletes who interested with excessive mistakes can be expected to tend to avoid misunderstanding and to be superior to others, pass in front of the other athletes, try to not make a mistake. While these findings that gained in the research were supporting to work findings of Stoeber completely and his friends (Stoeber J 2009) and Slade and Owens (Slade P, 1998) supported to works of Stoeber and his friends partly (Stoeber J 2008).

In research found to positive and meaningful relations between subscale of perceived family pressure that accepted as dimension of perfectionism that can adapt and dimension of performance approach and performance avoidance that accepted as dimension of achievement goal that can adapt. This finding, targets can be expected to determine as be superior than competitors pass the opponent and take place in the top row hence the reference to other areas of the athletes who feel pressure in this direction their families that they have high expectations for themselves and they cannot fulfill these expectations or unable criticized by parents who believed that they exhibit satisfactory performance.

Same findings found that Stoeber and his friends tested to relations between success motivation and perfectionism in 138 elite ice hockey players within this work (Stoeber J, 2009). Findings occurred that there are relations between target of performance approach and mastery approach of effort to reach of perfect this opposing to this, there are positive relation between mastery avoidance and actions that given to not reach to perfect performance avoidance and performance approach statistically. Findings that gained in the

research said that it is to be important in terms of expanding the study to demonstrate a relationship between performance target and perfectionism and largely supporting the previous research findings (Dunn, 2002, Hall, 1998, Ommundsen Y, 2008).

However, all of perfectionism is not negative and research shown us in the terms of supporting to researches both positive side of perfectionism and negative side of perfectionism (Flett, G, Gould D, 2002) although scale tool that evaluating sport is to be different also it said that it is to be important in terms of contributing to the view that the dimensions of perfectionism that cannot adapt and can adapt of need to be addressed separately.

### **Result**

It shown that it is to be positive and meaningful relations between all subscale of Achievement Goals and subscale of personal standard that accepted as dimension of perfectionism that can adapt also relation between points of achievement goals and perfectionism of Professional Turkish Ice Hockey Players. It shown that it is to be positive and meaningful relations between dimension of achievement goals that can adapt and subscales of perceived family pressure and extreme deal with mistakes that accepted as dimension of perfectionism that can adapt.

Athletes can be provided to training in the direction of determine to suitable standards leading from findings relation between achievement goals that can adapt and self-confidence particular to competition dimension of personal standards that accepted as dimension of perfectionism that can adapt.

When sample of the research consisted of only Professional Turkish Ice Hockey players take to attention, it can be benefit in terms of next works will be done in different

sport fields and realizing and generalizing to findings and understanding detailed of subject.

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**THE DETERMINATION OF CONSCIOUSNESS LEVEL ABOUT  
OCCUPATIONAL HEALTH AND SAFETY OF THE EMPLOYEE IN THE  
LANDSCAPING UNIT IN ATATURK UNIVERSITY**

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**Abstract**

The conscious level of occupational health and safety of the employee in the landscaping unit, who are responsible for the university campus sites' being clean, healthy and tidy, has an important role in their being confident and successful in their workplace environment. This study has been planned and conducted to determine the conscious level of the personnel working in the landscaping unit. The personnel working landscaping unit in Atatürk University are included in the scope of study.(n=64) The data of the study was collected in October-November 2014. The personnel taking part in this study are male and 46,9% of them are in 41-50 age group. Employment duration of the personnel varies from 1 year to 26 years and 48.8% of them work for 26 years. At the end of the study, it has been determined that most of the personnel (84,4% ) have taken the basic training of occupational health and safety. When the personnel's opinions on occupational health and safety is analysed, their expressions are as follow; the highest proportion state 'our workplace's institutive knowledge about occupational health and safety is insufficient '(48,4%), 'my workplace is in the least dangerous workplace class '(43,4%), 'our workplace wasn't arranged to protect our physical health' (70,3%), 'In the department I work, there isn't any technical substructure related to prevent occupational accidents and

wounding (57,8%), ‘sufficient safety precautions haven’t been taken in the unit I work’ (53,1%) ‘ some precautions have been taken to regulate the weakness on occupational safety by enterprise management’ (71,9%), ‘In our workplace, the factors threatening our health are being ignored’ (50,0%),’ In the precautions of occupational accidents the biggest cause of the accident chain is insecure conditions ‘(67,2%), ‘teamwork is the most important element in occupational health and safety’ (65,6%), ‘ we should be more educated to play an effective role in occupational health and safety’ (54,7)

*Keywords:* landscaping unit, occupational health and safety, occupational accident, management, inspection.

**THE DETERMINATION OF CONSCIOUSNESS LEVEL ABOUT  
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People have encountered occupational accidents for thousands of years. Even in the 21<sup>st</sup> century working is three times more dangerous than a war, and working kills more people than alcohol, drugs or war; it is stated that while 650.000 people die in a year because of wars, 2 millions of people die because of occupational accidents and occupational diseases every year. (Lloyd and Mitchinson)

With the seeking for solution of the problems occurring, safety concept has taken on a new dimension and occupational health and safety concept's having a new meaning has been discussed (Gülşen, 2004). On the one hand this beginning and seeking are at an international level; on the other hand they have developed in each country (Akbulut, 1994). At the end of the studies and researches, occupational health and safety term has risen, and it is started to approach to the topic scientifically. (Akyüz, 1980)

Occupational health and safety right is a right arising from social state qualification; occupational health and safety regulations are important steps in life and health right's being implemented. (Süzek, 1985) Occupational safety should have sufficient health and safety policy that the personnel are aware of. This policy should include education, the correct usage of materials and equipments, safety methods in work, individual safety, first aid and infection control.

In the world and our country, in connection with the advanced technology, some problems related to health and safeties of personnel have risen. Occupational safety is the

whole of systematic study which is conducted to avoid from unhealthy conditions and dangers from the production in work life (Sabancı, 2001).

Because of technological advancement and industrialisation's being continuous, new business lines attending to work areas, chemicals, machines and equipments have increased the need of occupational health and safety.(İSDB, 1998). In this content, preventing the personnel from falling occupational diseases and accidents, precautions for creating healthy and safety working environment is called as occupational health and safety. (Kılınç.2005)

Protecting the physical and mental health of the employee from the negative effects of workplace, taking measures for occupational accidents and diseases and arranging comfortable and safe environment for the employees constitute the aim of the workers' health and safety (Yüksel, 1998).

The personnel operating the service need to have sufficient basic knowledge and skill on their jobs and the personnel is required to take training on occupational safety and related topics (Şafak and Yertutan, 1992). The personnel who has sufficient knowledge on occupational safety can protect their occupational safety and also they can protect the customers' occupational safety. The aim of the occupational safety is to control the risks of occupational safety in the workplace and arrange a safety workplace environment for the employee, protect and improve the occupational safety of the employees. Employees should be aware of their unsafe behaviours and they should know what's going on around them in the sense of occupational safety. Occupational safety consciousness should be learnt by everybody and it should be a part of every employee's works. (Topçuoğlu &

Özdemir, 2003). In conjunction with the workplace conditions getting healthy and safety, negative effects of workplace environments on employees health will be removed and it will be possible to protect the employees from negative effects of the health disability (Yertutan, 2000).

The aim of the study of occupational health is to take the health risks in the workplace under control and arrange a healthy and safety working place for the employee thus the employee's health will be protected and improved. (Çopur at all, 2001) It is not easy to show a high performance and increase the productivity for the employee who aren't informed about the dangers of the work they do and negative effects of it on their health. (Güler, 2003) The aim of the study of occupational safety is to protect the employees, enable them to work in a comfortable and safe environment and remove the dangers for the safety of the business. (Ünsar, 2003) Occupational health and safety is gradually becoming more important in accordance with economic, social and technical aspects. Many negative effects of occupational health and safety in view of government, employee and employer should be detected and the solution for these problems has to be analysed thoroughly. The studies on the views of the personnel who work in various departments in our country about occupational health and safety are quite limited in number. So, this study was planned and conducted with the aim of determining of consciousness level of the employees in the landscaping unit unit, Atatürk University about occupational health and safety

### **Methodology and The Equipment**

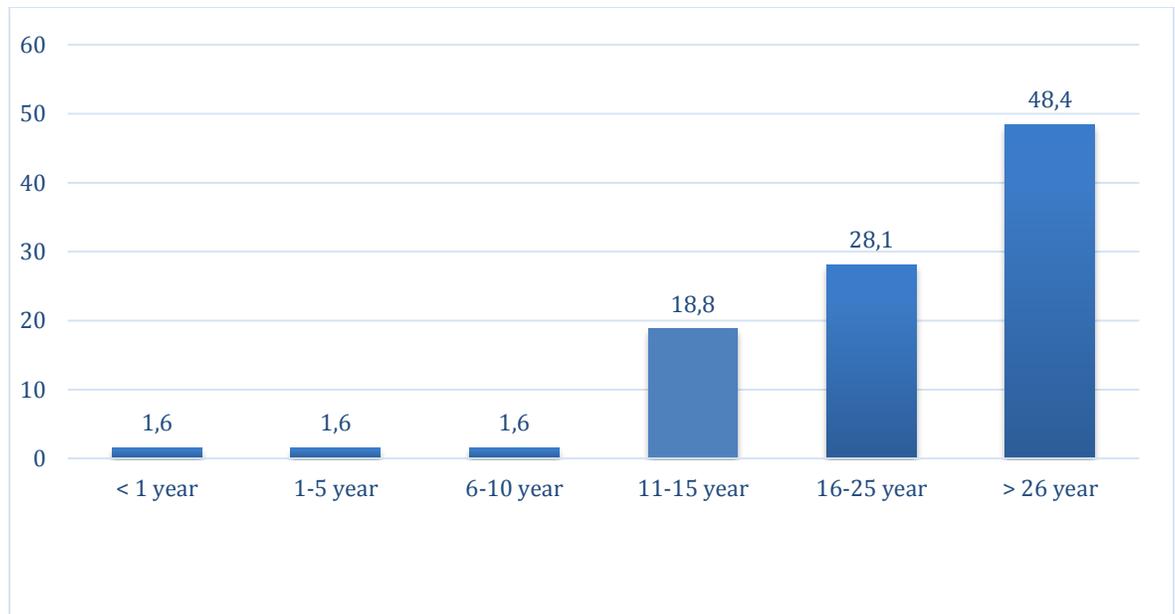
The personnel who work in the landscaping unit in Atatürk University (n=64) took part in the study. The research data was gathered as a result of face to face interactions

made with the personnel who work in the landscaping unit in Atatürk University between October and November in 2014 in accordance with the prepared survey form, and all the personnel were interviewed one by one, and with the help of management staff, we could reach to the related personnel. The questionnaire form used in this research consists of three sections. In the first section, there are such general information as the gender, age, service duration of the personnel and the utilities provided by the institution; in the second section, there are the situations of in-service training and taking measures against the accidents, and the knowledge related to the measures taken: and in the third section, there are questions about determining of the consciousness level occupational health and the belongingness to the job. The statistical analysis of the data gathered in the study was conducted with SPSS programme.

## **Findings and Discussion**

### **General Information about the Personnel**

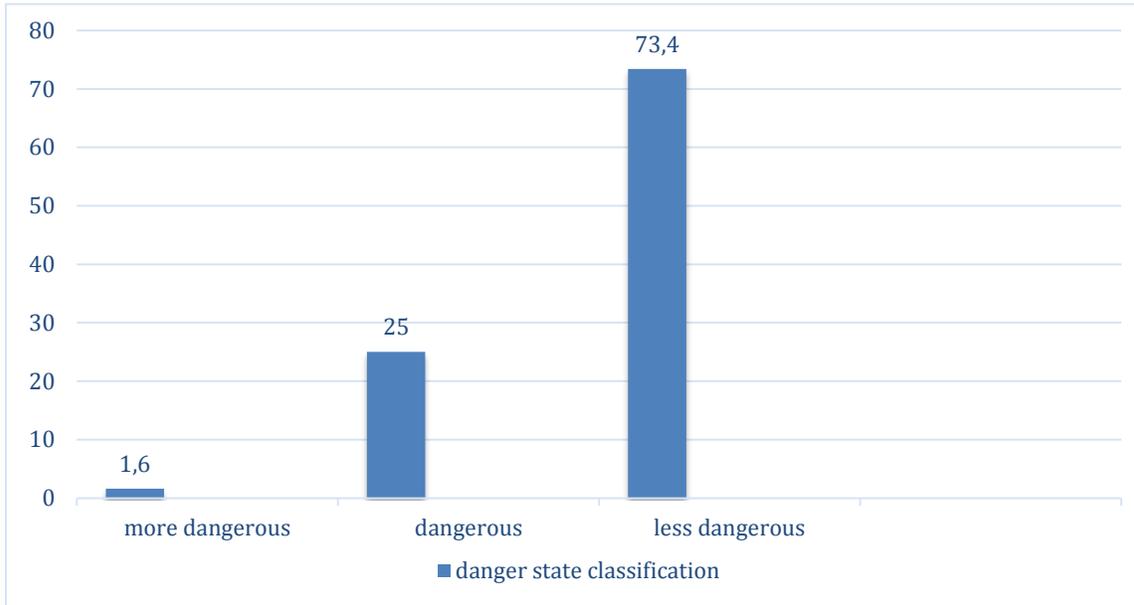
It is detected that the personnel who attended the study are males. Among the personnel the most common age group is 41-50 (46,9%), second common age group is 51+ (31,2%), the following is 31-40 age group (17,2%), and the last one is 21-30 age group (4,7%). Employment duration of the personnel varies from 1 year to 26 years 31 of them works more than 26 years in the same workplace (48,4%)(Graph 1). It has been found out that the 93,8% of the personnel included in the study worked as the workers in this institution.



*Graph 1: The distribution of the Landscaping Unit Employee according to the working duration in the workplace*

### **The state of the Personnel of In-Service Training, Experience and Measures For Accidents**

In the study, it has been detected from the training content that nearly all the personnel (84,4%) took part in the training and they were trained on the cleaning methods, the usage of cleaning materials, protection from the accidents, hygiene, maintenance of the equipment, infection control and first-aid respectively during these training within the scope of occupational health and safety. It was determined that 43,8% of the employee should be trained once a year and 37,5% of them once in 6-months. And the majority of the personnel who took part in these trainings (73,4%) regard their workplace as less dangerous in the emergency classification of the workplace (Graph 2).



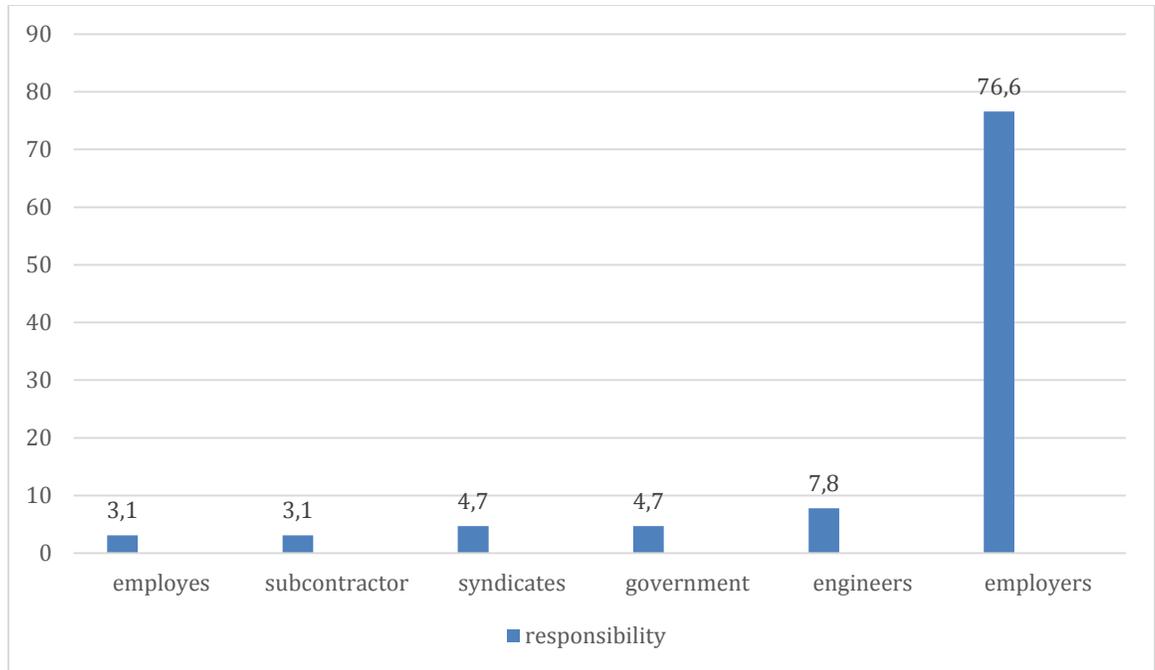
*Graph 2: The distribution of the Landscaping Unit Employee according to the danger state classification in the workplace*

In a study carried out to detect the factors that are effective in the happening of occupational accidents, it was suggested that the fact that the employers do not give much importance to the training causes most accidents (78,6%)(Çalık,1989). As a matter of fact , the rate of the people who have not been exposed to any physical dangers in that workplace has been found as 99,6%. This situation shows that there is an intense proportion in the relation between the increase in the accidents and the training.

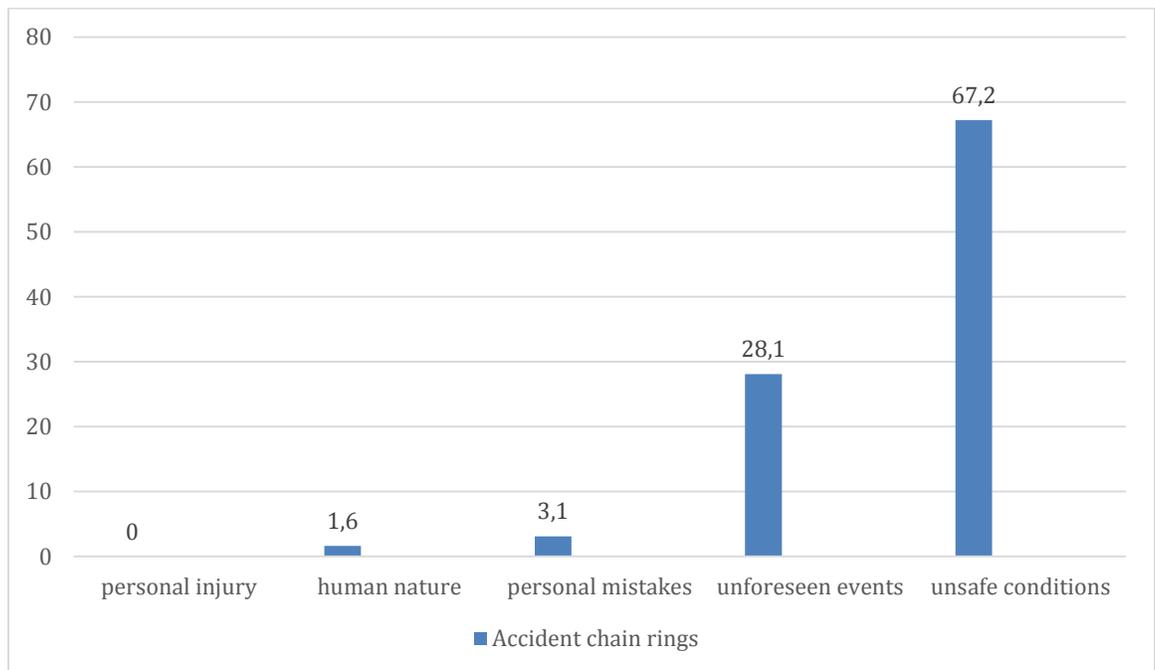
It has been found out that 76,5% of the employee who work there have been working in the same work place for over 15 years. So, this situation helps the employee learn the dangers in the work place and how to protect themselves against them and leads to an increased sense of responsibility. Such factors as having little knowledge about the causes of arising accidents, lack of training on protection against accidents, being

inexperienced for the duties being carried out are significant in the arising accidents ( Erkal and Şafak, 1998). The studies conducted to find the causes of occupational accidents have suggested different results for the relation between the job experience and occupational accident. A large proportion of the studies conducted have suggested that the frequency of occupational accidents, among inexperienced employee is higher than that of experienced ones (Güney 1990). In other words, the higher the job experience is, the fewer the accidents happen. Occupational inexperience is regarded as the causative factor for the accidents. Accidents rate for the inexperienced employees who have just started their jobs is higher, and accordingly they gain more tendency and practice to work once they have become more experienced (Gerek 1998).

The personnel who took part in the study think that the responsibility mostly belongs to the employer (76,6%) in the arising occupational accidents, and they have come to the idea that the eliminating the unfavourable conditions has the biggest importance in preventing occupational accidents (Graph 3 and 4).

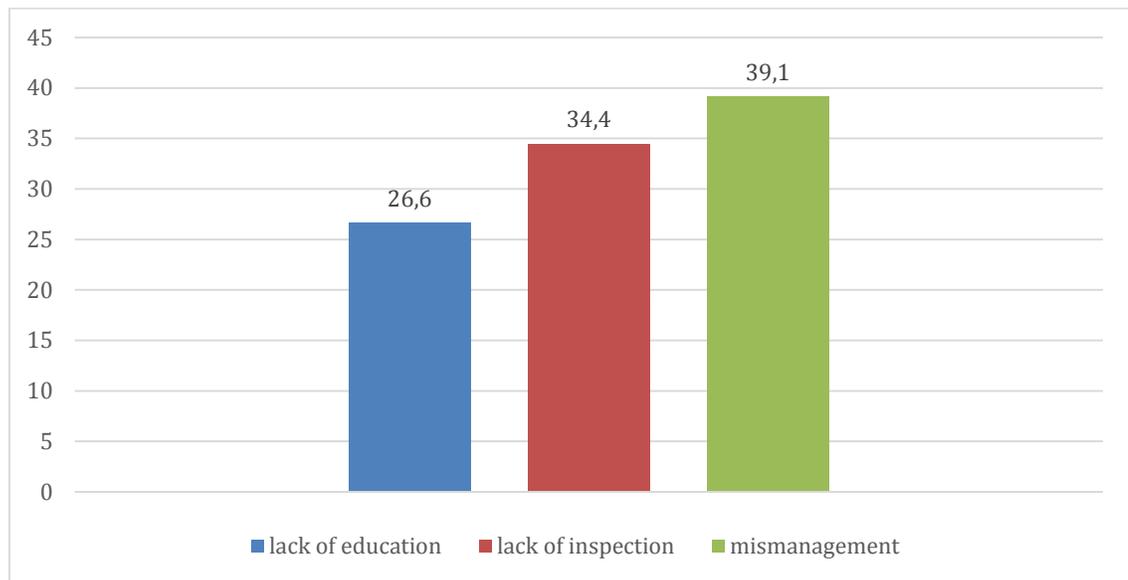


*Graph 3: The distribution of the people who are found responsible for the arising occupational accidents*



*Graph 4: The distribution of accident chain rings in preventing the accidents*

The reasons which are effective in arising the occupational accidents are specified as lack of education (26, 6%), mismanagement (39, 1%), lack of inspection (34, 4%).(Graph 5)This situation has led to the idea that the operations of training, management and inspection should be conducted in a coordinated way in preventing occupational accidents.

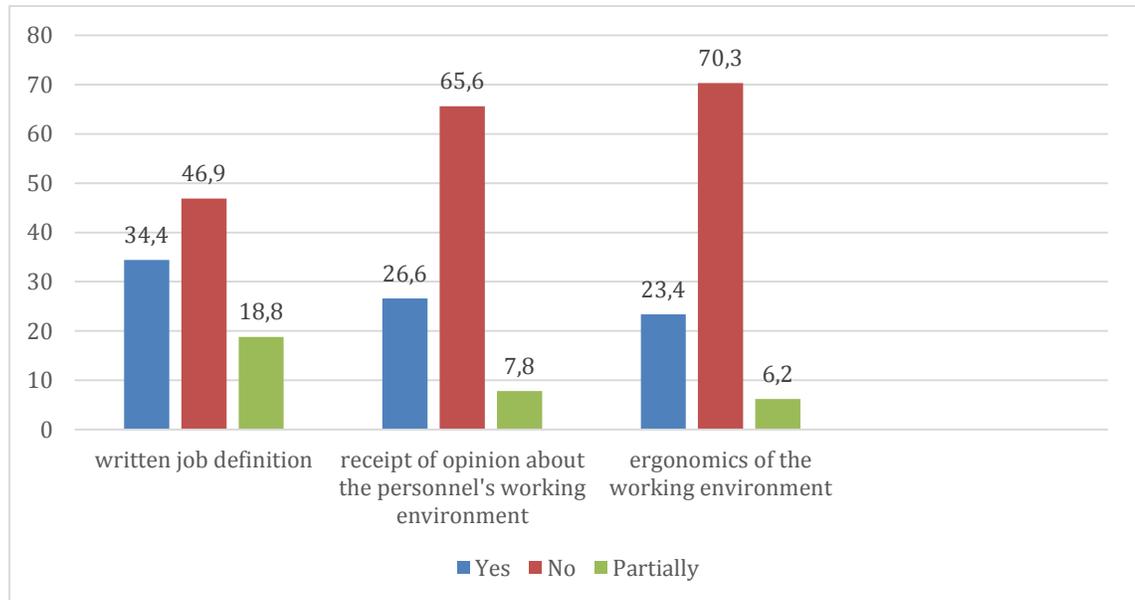


*Graph 5: The reasons for the arising occupational accidents*

### **Personnel's Workplace and Administrative Relations**

Personnel's opinions on their workplace as follow; 'I don't have any written job definition which is clear, bordered and related to the things I need to do'. (46,9%) 'They do not ask our opinions about our workplace and the arrangements on our working conditions'. (65,6%) 'Our working place wasn't arranged to protect our physical health. (70,3%) Sufficient safety measurements aren't taken to in the unit we work. (53,1%).(Graph 6) However 56,2% of the personnel think that the unit they work in is threatening their health. There is a significant relationship between workplace order and in

the arising the accidents. When the working order and workplace's environment is bad, occupational accidents arise more frequently. The coordinate of the workplace and adaptation in the workplace have affected the motivation and morale of the employees positively (Camkurt, 2007).



*Graph 6: Personnel's views on working environment*

The opinions on management are as follow; ‘we can’t find the opportunity to tell our problems to the enterprise management’ (45,3%). However most of the personnel have thought that enterprise management take measures about the occupational safety of the personnel. The studies have shown that the increase of the knowledge arriving to the personnel has a positive effect on satisfaction of the personnel and perception of fairness. In this respect, the organisation bodies and issues interacting between the employees and the senior staff are not only communication means but also a strong strategy that triggers the development of eagerness to work and job satisfaction and the justice among the employee (Putti and Aryee, 1990).

### **The Personnel's Views on Occupational health and safety**

When the views of the personnel on occupational health and safety are analyzed, they are as follow; “I do not have any idea about when the institution that I work for will be subject to the Occupational health and safety law no. 6331.”(98, 4%), “Institutional knowledge level is very low on the issue of Occupational health and safety.” (48, 4%), “A doctor should be assigned to work in our institution within the scope of Occupational health and safety.” (68, 8%), “The employee should be given the right for denial to work in the safety-critical duties with regard to labour act.” (64, 1%), “What is important in the issue of occupational health and safety is the teamwork.” (65, 6%), “The employee should be trained in order to play more active roles in Occupational health and safety”. (54, 7%), “The biggest factor triggering the increased awareness on Occupational health and safety in Turkey is the public backlash to the occupational accidents.” (56, 2%), “The weakest point of Occupational health and safety in Turkey is the labour inspection.” (93, 9%), “The priority for the Occupational health and safety laws should be given to the tight inspection measures.” (65, 6%), “The fact that the employee that have low income become organised (union activities) and stand for their rights will help the level of occupational health and safety increase.” (76, 6%).

### **Conclusion and Suggestions**

Occupational accidents and diseases whose number is reaching non-negligible dimensions have become a very important issue for employee, organisation, government and society. The conclusions obtained from this study aiming to determine the consciousness level on occupational health and safeties of the personnel working in the landscaping unit are as below:

- Although nearly all the personnel were trained on occupational health and safety, more than half of the personnel still state that they want to be trained on occupational health and safety on a regular basis.
- More than half of the personnel state that the mismanagement and the lack of inspection are the biggest causatives in occupational accidents.
- More than half of the personnel think that the workplaces are not ergonomic and security measures are not taken enough.
- More than half of the personnel emphasize that they are not informed of the vision of the foundation by the foundation itself.
- Nearly half of the personnel accept that the foundation has a low knowledge level on occupational health and safety.
- The personnel regard the teamwork as an important part of occupational health and safety.
- The personnel think that the tight control is the key factor on occupational health and safety.
- Nearly all the personnel are in the opinion that the weakest point is 'Labour Inspection' in occupational health and safety.
- The personnel think that the union activities will be helpful in increasing the level of occupational health and safety.
- It is seen that the employee do not have enough knowledge on the regulations of occupational health and safety.

In accordance with these conclusions;

The department of human resources should be trained in order to get the expected efficiency from public institutions. The employee should be informed by means of in-service trainings while starting the job or when they change their occupations, the knowledge acquired during the training should be inspected on whether they are applied while working or not, and any kinds of measures required for occupational health and safety in the workplaces should be taken;

The institutions that ignore their employee and regard them as only simple employee cannot be successful. So, the participation of the employee in the issues that are related to them should be allowed at a certain level and their ideas and suggestions on labour/operation should be taken into consideration.

- Job definitions of the employee should be expressed clearly.
- Medical services given by office doctors should be increased.
- Occupational accidents happening in the institution should be inspected and analyzed in terms of quality and quantity, and necessary measures should be taken accordingly.
- The managing staff should learn modern management techniques and work up a positive connection with the personnel.
- In order to ensure the health and safety of the personnel, the working environment provided by the institution should be made suitable for them and the tools and materials that are used should be ergonomic.
- Legal reforms should be made in a way to satisfy the demand of the employee.
- The personnel should be assigned to the duties that they can do.

- The personnel should be taught to get into the habit of using the tools and materials that are necessary for protecting themselves.
- The employee should be more informed about the changes in law and regulations
- Also it is suggested that the training programmes that are being provided within the body of Atatürk University with the aim of adopting the occupation safety culture in the institutions be continued at regular intervals and the permanence of the training be enabled.

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## **NEPOTISM IN THE BANKS AND EFFECTS OVER WORKERS**

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### **Abstract**

Nepotism is located in our language meaning ‘newpew’ and came from ‘Nepos’ word in Latin. Nepotism can be defined as favored to business life regardless of the personal characteristics, achievement, experience, ability of family members. Banks are important financial services enterprises experiencing intense competition in nowadays. In these organizations poses a major problem for another workers due to become privileged of some employees with nepotism behaviours and receive higher salaries than them, they are rewarded with higher premiums and they are promoted in less time. Workers should be convinced that a fair performance review system and necessary performance review are done fairly because it is required to motivation of the workers, their organizational commitment and their job satisfaction and not affect their intention to leave work.

*Keywords:* nepotism, favouritism, bank, motivation, job satisfaction, organizational commitment

## **NEPOTISM IN THE BANKS AND EFFECTS OVER WORKERS**

Nepotism appears to be a major problem for workers in banking sector on nowadays. Because while workers were working in a highly competitive environment and planful, target-oriented also in contrast with it, they have various material and moral expectations. Because of nepotism even if workers do not deserve, they reach to opportunities that can not reach everyone and some workers are becoming privileged thanks to their relatives or acquaintances in high ranks. In this situation found that there are many negative side for bank employees. In these work are discussed nepotism applications affects over workers and action to be taken in banking sector.

### **Nepotism**

Nepotism is described as giving priority to not contract with relationship in case of providing with extra benefits like premium and prize and be promoted and performance review to existing persons or staff recruiting in business. Basic foundation of gain advantage is relatives who founded in high ranks not be mention about rewarding and a review fairly in there.

The concept of nepotism is used for<sup>243</sup> abuser to in favour of family hierarchical position that occupied by any organization to a worker on nowadays. Top executives provide opportunities to individuals relatives or the benefits to be provided for business workers implending intensively in the private sector business (sometimes in public sector business). The immediate surroundings would be have many expectation from person in a position of authority in the companies it works them and especially reached a certain social status. Employment opportunities are a behavior that expected to provide their immediate

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<sup>243</sup> Ford, R., McLaughlin, F., "Nepotism"[Nepotizm], *Personnel Journal*, 64 (9), 1985, 57-60

surroundings by executive in places where a significant problem of unemployment. Persons who makes management in business try to employ referring to these expectation primarily relatives, or someone from a group of friends and their children. It is expected to get a better income and be promoted to the individual only employ is not usually enough. Often there is not enough to meet some of the expectations if every possible advantage not used for relatives nonsense relentless can be concerned.

Nepotism is not only protecting by top executes individuals in business just as their employ. Nepotism applications are made for individuals who will work in another business to some extent from getting rid of the negative consequences of nepotism in application. For example; if a top executive wants to intercede to upbringing a relative's work in this situation, executives in another company or organization can be suppliant for a their friend on behalf of getting rid of legal and environmental pressures. Thus, person would be placed in a position in another institution not the institution of the top executives. Nepotism applications are a versatile application. Nepotism with work that made by Asunakutlu and Avcı in 2010; it is considered<sup>244</sup> in 3 dimensions implending favoritism in recruitment process, operation favoritism and favoritism in promote process.

Nepotism in recruitment process are evaluated primarily this stage that will start to employed individual of the public or private sector. Person is accepted for a job only a set of with subjective evaluations regardless of a fair election among personnels and measuring their skills and their sufficient and capacity of personel and without meeting a important problems in here. Recruitment exams or nothing is done or is done even when performed in order to complete the formalities. Favoritism in the operation which is another

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<sup>244</sup>Asunakutlu, T., Avcı, U., "Aile İşletmelerinde Nepotizm Algısı ve İş Tatmini İlişkisi Üzerine Bir Araştırma", *Süleyman Demirel Üniversitesi İktisadi ve İdari Bilimler Fakültesi Dergisi*, 15(2), 2010,102

dimension of nepotism favored personnel are being given less workload from another personnel or to the other elements works that can aspire them are being given simpler and funny works. This situation is not adopted by the workers. Because a portion of the workers in the same wage level and some of them works to relatively easy or enjoyable jobs as privileged can not accepted by another workers although being employed in undesirable jobs. Workers want to naturally sometimes want to set so that makes it easy and normal to works with rotation.

Favoritism in promote process leads to important uneasiness and even conflicts among workers. Especially workers who deliver an outstanding performance, diligent and skilled can not accept to promoted lower performing people than themselves when they have expectations about promote. It gives rise to a significant loss in business, motivation highly in terms of other workers regardless of their features like skill, experience, success and experience of personnel who favored in business with nepotism behavior

Behaviours of nepotism have a number of benefits and harms in terms of businesses. Businesses should address to nepotism behavior in case of they see rational, they should try to anticipate the potential benefits and harms of these behaviors before they are not directed to nepotism behavior.

One of the major advantages of nepotism may be more useful for employment of well-known people and referenced in the market will experience a variety of troubles especially in supply of personnel. For example; in case of a bank will open a branch in a small city there may be difficulties in finding qualified staff in this city. However, if there are relatives of one of the bank's management positions in this city, these persons would be preferred primarily.

One of the important advantages of nepotism in terms of businesses, adaptation of persons who have premissibles like worldview, common values, culture, family life is easy generally<sup>245</sup>. Workers who worked with common values provide to adaptation, harmony and communication facilities as a result of this they provide to productivity. Individuals who had very different personal characteristics to run together is not easy and the desired level of success can not reach.

In addition to benefits of nepotism in terms of business there are some harms for business. In businesses where there is nepotism, institutionalization literally, professionalism understanding of democracy is not established<sup>246</sup>. Working in the same company with relatives leads to reflection to sincerity arising from a relationship outside of work to workplace or a variety of role conflict. Many of behavior are inadmissible in professional business life from superiors and subordinates relationships in the workplace, to term of address of the workers.

One of the major drawbacks of nepotism is the reduction of faith in the organizational justice. Workers who have relative and acquaintance in high position is simpler promoted than their competitor nepotism in business<sup>247</sup>. Nepotism with this aspect can be a uneasiness and hostility resource among workers.

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<sup>245</sup> İyiiişeroğlu, Salih Cem, *Aile Şirketleri: Adana ve Çevresinde Faaliyet Gösteren Aile Şirketlerinde Nepotizm Uygulamasının Tespitine Yönelik Bir Araştırma*, (Yayınlanmamış Yüksek Lisans Tezi), Çukurova Üniversitesi Sosyal Bilimler Enstitüsü, Adana, 2006,48

<sup>246</sup> Özler,H.,Özler,D.N.,Gümüştekin,G.E.,“Aile İşletmelerinde Nepotizmin Gelişme Evreleri ve Kurumsallaşma”, *Selçuk Üniversitesi Sosyal Bilimler Enstitüsü Dergisi*, 17, 2007, 438-439

<sup>247</sup> İşçi,E.,Bal Taştan,S.,Kozal,A., “Örgütlerde Kurumsallaşma Düzeyinin Nepotizm Üzerine Etkisinin İncelenmesi: Hastane Çalışanları Örneği” *Siyaset, Ekonomi ve Yönetim Araştırmaları Dergisi*, 1(1), 2013, 67

The succes of businesses can be decrease<sup>248</sup> significantly because of employment for only this relationship regardless of features of workers like education, experience, longsightedness, foresight that will be important and sufficient to business nepotism in businesses. Businesses want to employment for the best equipped personnels in market conditions that has intense competition on nowadays. Especially nepotism applications in recruitment process are expected to adversely affect the efficiency of the business considering workers just beginning to be employed relationship.

### **Banking Sector**

Banks are organizations that generate income in exchange for operation that made them and allowed to credit for person and establishments that need to fund using certain financial instruments in the most general sense they collected funds from the surplus funds. Banks begin to earn money presenting variety financial services thanks to banking system that advanced in last years (safe custody, collection of invoice etc.).

Banking system helps to the significant monetary policy applications in terms of economic development interceding the commercial and economic transactions while it was providing transfer to investments of saving another side<sup>249</sup>. This aspect is controlled by a strict control mechanism for contributions or potential losses to be minimized in ensuring financial stability.

Banking sector has being began to existing and improving since 19th century in our country. Banking sector increased activities with foreign-capitalized banks and often used

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<sup>248</sup>İyışleroğlu, Salih Cem, *Aile Şirketleri: Adana ve Çevresinde Faaliyet Gösteren Aile Şirketlerinde Nepotizm Uygulamasının Tespitine Yönelik Bir Araştırma*, (Yayınlanmamış Yüksek Lisans Tezi), Çukurova Üniversitesi Sosyal Bilimler Enstitüsü, Adana, 2006, 45

<sup>249</sup>Zaim, Sabahattin, *İslam Ekonomisinin Temelleri ve Faizsiz Finans Sistemindeki Yeni Gelişmeler*, İstanbul, Nisan 2006, 188

in conjunction with the banks of public capital in the first quarter of the 20th century when the Republic was proclaimed

According to Council of Banking Audit and Regulation's data size of asset of Turkish Banking Sector reached 1,994,238 million TL with growth 15.1% by the end of December 2014 according to end of 2013 year. It is seen 18.5% increase in credits compared to 2013 year-end it seen 5.4% increase in securities. The net profit of the sector is 24,665 Million on December 2014, Capital adequacy standard rate found on 16.3% Level<sup>250</sup>.

<i>Versions</i>	<i>1980</i>	<i>1990</i>	<i>2000</i>	<i>Aralık 2014</i>
<b><i>Number of Bank</i></b>	43	66	79	49
<b><i>Number of Branches</i></b>	5.954	6.560	7.837	12.210
<b><i>Number of ATM</i></b>		3.209	11.991	46.000
<b><i>Number of Pos</i></b>			299.950	2.389.000
<b><i>Number of Personnel</i></b>	125.312	154.089	170.401	216.880
<b><i>Number of CreditCard (Onethousand)</i></b>			13.408	57.007
<b><i>Number of Bank Card (One thousand)</i></b>			29.560	105.513

Resource: BDDK, TBB, BKM, TKBB

14 Deposit, 13 progress and 4 participation bank services by years of 2014 December in our country<sup>251</sup>. These banks provides employment opportunity for 216 880 people with common 12,210 branches across the country. When the number of bank

<sup>250</sup> [http://www.bddk.org.tr/WebSitesi/turkce/Duyurular/Basin\\_Aciklamalari/13809basin\\_aciklamasi\\_03.02.2015.pdf](http://www.bddk.org.tr/WebSitesi/turkce/Duyurular/Basin_Aciklamalari/13809basin_aciklamasi_03.02.2015.pdf)

<sup>251</sup> [http://www.tbb.org.tr/Content/Upload/Dokuman/2182/Turkiye'de\\_Bankacilik\\_Sektoru\\_2009-2014\\_Aralik.pdf](http://www.tbb.org.tr/Content/Upload/Dokuman/2182/Turkiye'de_Bankacilik_Sektoru_2009-2014_Aralik.pdf)

branches and personnel evaluated to increase by years, it seems to be the major growth potential for the next period.

The number of POS and ATM devices has caused a significant increase along with the remarkable increase in the number of bank cards and credit cards that are used. Numerical increase about in bank card and card products have caused to increase the number of required technical support team for these. For example: Banks that found millions of credit card customers operate hundreds of customer service representatives for the services provide with phones anymore. Some banks are aiming to do to ensure customer satisfaction making more effective interviews with call centers have established in different regions.

The number of services has increased with orientation to individual products in the banking sector in recent years has increased the number of products and services they anymore use the bank of individuals and this situation was reflected in the profits of the banks naturally. Banks to open new branches take the effort to get a bigger share of the market with profit so that they also created both countries achieved a significant part of the population and new employment opportunities.

### **Nepotism and Banking Sector**

Nepotism applications are used frequently in many sectors on nowadays. A significant number qualified workers requires a significant number as institutions starting activities with new branch in new geographical areas, growing to in the banks constantly. Banking as dynamic sector, it is a situation that lived also frequent pass to the other bank them with better facilities after the formation of a portfolio of employed personnel in the market.

Banks want to graduated to personnel who will enter sector first time from ‘‘ Faculty of Economics and Administrative Sciences’’ if not currently a legal limit in nowadays. The main reason for this preference are useful lessons to sectors like law, finance, management and marketing that teaching in these faculties.

Workers who graduated from different faculties on past years have worked in banking sector they can rise important positions with their experience. Person who is in more advantageous position ho are relatives of senior workers than bank employees especially in recruitment. It considered as a relative reference is a more rational behavior can employ workers in the relevant bank because Instead of employing someone who they did not know in terms of banks.

Nepotism behavior that a frequently encountered bank employees is operation favoritism. Individuals working in the same unit have a responsibility in the same subjects even if they have different job titles.For example; when One of the two personnel who worked at any bank branch in the individual marketing unit was dealing with the ever-elusive operational processes work another one may be busy with easier works. This situation can livable on the knowledge and unawares of the executive branch.If there are elements of age difference between employees in the same unit, experience differences, hierarchical differences or If the privilege of working with one of nepotism behavior, in this case not privilege person can do all kinds of drudgery. This is not a sustainable condition in professional business life. Perceived injustice among workers leads to the various tensions and conflicts.While underemployment and worker who occasioned to uneasiness were trying to collect oneself and correct one's deficiencies mostly thanks to

nepotism they show no adjustments effort with the assurance provided by the relatives of business

One of the most effective negative consequences nepotism is performance evaluation and experienced in the promotion process favoritism. Because the bank is not a fair and objective performance evaluation system should be rewarded to workers with both wage increases and promoted, discriminating to personnel who can not work and work (or fewer worked). However if there is personnel that favored with nepotism behavior aside from promoted generally in application privileges are used for this person uncaringly their performance.

Workers are repudiating the operation of favoritism they can accept to some extent but promoted favoritism can not be accepted as negative consequences. Workers think seriously of leaving the workplace only when they see others rewarded and they are rewarded equally with others despite their efforts and achievements. Unfair applications that perceived in a very dynamic sector and it have the long and tiring shift suc as especially banking high goal pressure causes employees at the earliest opportunity to directed to banks or other businesses

Transition between different banks of employees is a situation frequently encountered with affecting the rapid growth in the banking sector .Banks that needing experienced employees in branches that will new- open try to communicate with experienced workers of competitors. If individual believes that deserved promotion and can not receive wages although performance it is more likely positive assessment of the job offers from alternative bank. While individuals holding the way to a new bank with new hope former bank will enter into the effort put a new personnel instead of leaving

worker. If worker who left to job also can lead to a significant portfolio of new bank this situation will mean a significant loss in terms of the former bank. While former bank of worker try to folds into its cost of training and to find new personnel to fill the void created to personnel that left to job.

Banks must make a fair performance evaluation considering the high cost of education and finding new employees instead of leaving employees and predicting to worker can pass now easily another jobs referring to growth in the sector. Because unhappy workers in unfair performance evaluation results are lose their motivation, show lower performance and stands out various conflicts with decreasing organizational commitment. Workers are evaluating alternatives for the resolution of these conflicts they bring a significant burden to their banks passing other banks at the earliest opportunity. Banks should be followed a fair and transparent performance evaluation process the way of not to cause decrease in the efficiency of working for various reasons and they should be rewarded to their successful workers.

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**FIRST MIGRATION TO ANATOLIAN FROM SOUTH CAUCASUS CENTER  
REVAN '(ERIVAN)**

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**Abstract**

Immigrant became one of the most important problem in history of Turkey. The Balkans and Caucasus is the primary the beginning of the region where realized the most important migrant. This migration was realized with more political and economic reasons. Revan where an important region of the South Caucasus realized the most important migrant came under Ottoman rule in the last XVI. Century. Revan was constantly changing hands between the Ottoman Empire and Safavid established Khanate of Revan from this date in the middle of XVIII centuries. The majority of the Revan consisted of Muslims before region was not came under domination of Russia. Russia, Muslim population in the region is forced to migrate to the Ottoman Empire in order to rid the Muslim and Christianity this region. Hundreds of Thousands of immigrant who had to take refuge in the Ottoman Empire were sent to various provinces of Anatolia in order to be settled. The immigrants were settled mixed with the local people even if was not hold them, accelerated the cohesion with the locals and their adaptation to their new home and thus be unity has been provided. Agricultural production increased and region became cheerful thanks to settled region with settling of immigrants. This each of the immigrant that lead to bother and ordeal actually, immigrant provided to the removal of the new and more powerful foundation of life.

*Keywords:* Revan, Ottoman, Russia, the Caucasus, immigrant

## **FIRST MIGRATION TO ANATOLIAN FROM SOUTH CAUCASUS CENTER REVAN '(ERİVAN)**

One of the most important results of the Russian sovereignty in the South Caucasus is that it has led to significant changes in the demographic structure of the region. Armenian citizen of the Ottoman and Qajar empires have migrated to the Caucasus while Muslim population in the region were driven to Ottomon.<sup>252</sup>

Times of mobilization of caravans of the migration has closely followed the changes in the Ottoman-Russian relations. This mass migration that brought about a historic obligation to developing Ottoman country from the Caucasus is population movement that affected social, ethnic and religious composition of Ottomon Empire radically.<sup>253</sup> The emigration of the inhabitants of the Caucasus to the Ottoman Empire began with the invasion of Azerbaijan in the battle with Iran the beginning of XIX. the century.<sup>254</sup>

Although migration has begun since XVIII century in the Ottoman Empire, This migration has increasingly continued in the XIX. century, eventually XIX century became thrashing era and it had lost the large soil with over and over defeats. The inhabitants who living in the the lost territories have migrated to Anatolia. Immigrant masses will begin to come intensity in the Anatolia suddenly with made migration after 1870.<sup>255</sup>

Migration that made to Anatolia from the Caucasus was not realized with encourage the Ottoman Empire and volunteers. The primary goal of the Ottoman Empire protected to

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<sup>252</sup> Kamil Ağacan, " Ermenistan- Gürcistan İlişkileri, *Ermeni Araştırmaları Dergisi*, Sayı : 19, Sonbahar 2005, s.22

<sup>253</sup> Hayatı Bice, *Kafkasya'dan Anadolu'ya Göçler*, Ankara, TDV. 1991, s. 45

<sup>254</sup> Firuzoğlu, "Kırım ve Kafkasya'dan Osmanlı İmparatorluğuna Göçler", s. 688

<sup>255</sup> Bilal Şimşir, "Rumeli'den Türk Göçleri", *Ankara, Türk Kültürünü Araştırma Enstitüsü Yayınları*, 1970. s. 10

local community.<sup>256</sup> Afterwards, obliged people who forced to forced migration was not refrain to received with open arms.

Basing of Muslim-Armenian conflict in Caucasus located in aimed at ex expansion of the Russian imperial politics. Armenians revolted primarily in 1790 Armenians have formed an alliance with the Russians and later then they have helped them in declared wars of the Russians. century in the Ottoman Empire, This migration has increasingly continued in the XIX century, eventually XIX century became thrashing era and it had lost the large soil with over and over defeats.<sup>257</sup>

Caucasus invasions long years of Russia led to the massacre of the inhabitants or forced migration The Armenians were settled also instead of them. This movement of immigrant is known to have started before the Russian war in the 1827-1829. Mr. İsa and brothers Abdullah, Mustafa, Hasan who became from Cibayetder (village) inhabitants in the 1803 and came to Diyadin with escaping and sent to Beyazıt from there they said they wanted to emigrate to the Ottoman Empire if themselves are permitted with fifty households. It wanted that acceptances are achivement as a results of investigation will be done about these with a new send by Lieutenant Governor of Beyazıt.<sup>258</sup>

### **1828-1878 Migrations**

İ. Şopen, carried out a counting in Revan province with instruction of Russian General Graf Paskeviç Erivanski in 1829 and İ,Şopen reveals manuscript that consisted of 20 volumes. The informations that provided by Şopen are very interesting as a result of counting .Accordingly ;

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<sup>256</sup> Mehmet Yılmaz, "XIX. Yüzyılda Osmanlı Devleti'nin Muhaciri İskan Politikası", *Osmanlı Ansiklopedisi*, C. 4, Yeni Türkiye Yay. Ankara 1999, s. 602.

<sup>257</sup> Justin McCarthy, "Bırakın Tarihçiler Karar Versin", *Ermeni Araştırmaları Dergisi*, ASAM, Mart-Nisan-Mayıs 2001, Sayı 1, Ankara, s.66

<sup>258</sup> BOA, A. MKT. MHM, 513-1/20 (Revan sancağının Cibayetdere karyesi ahalisinden olup firaren Diyadin kazasına gelerek Beyazıt'a gönderilen İsa Bey biraderleri Abdullah ve bir tanede Mustafa ve Hasan beyler kabilelerine müsaade olunduğu taktirde elli hane ile memalik-i şahaneye-i devletine hicret edeceklerini ifade ettikleri ve bunların aşiretlerinin bereketli taifesinden şafi olup olmadıkları tahkik kılındığı Beyazıt mutasarıflığına bildirilmekte hakkında olunacak muameleler emri imba buyrulması memnudur. )

Before the wars in province ;

Erivan: 521 village

Nahçıvan: 179 village

Ordubat: 52 village

Total: 752 village

After the wars

Erivan:310 village

Nahçıvan: 42 village

Ordubat : 6 village

Total: 358 village

When calculated in terms of household:

Nahçıvan : 4 600

Ordubat : 2 130

Total : 23 730

Accordingly, A total of 23 730 households in the province of Reva namely 118,650 people were living. 81 749 of them were Muslims 25 131 of them were Christian namely was Armenian. Therefore, region was region of Muslim. The arrival of the Armenians to region has been became with migrations after 1828 and even at that time, Tbilisi and surrounding this area has been calculated as the area of a Muslim-Turkish in terms of the density of the population.<sup>259</sup>

According to another source Numbers and totals of people living in Revan Khanate Before the Russian invasion were calculated as follows.<sup>260</sup>

## POPULATION OF NATIONS

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<sup>259</sup> Aygün Attar, "Karabağ Sorunu Kapsamında Ermeniler ve Ermeni Siyaseti", s.31

<sup>260</sup> İntikam Beşiroğlu, "19-20 Yüzyıllarda Ermenistan'da ki Azeri Türklerinin Göç Ettirilmesi ve Soykırım Gerçekçiliği", *Avrasya Dosyası, Ermeni Enstitüsü*, Ekim 2006, VII/ 1, s. 456

Turks (Azeri) 84 089

Armenians 57 305

Kurds 26 911

Other 850

Total: 169 15

Babiali, all of the Eastern Black Sea territory had to be left Russia with the signing of the Agreement of Edirne in favor of Russia in the year of 1829. This situation also the military presence of the Ottoman Empire has meant to end in Caucasia.<sup>261</sup> Agreement was only on paper. This land that given to Russia were not location where will obtainable without using the power.<sup>262</sup> In short, the war of 1828-1829 has been a turning point Ottoman-Russian struggle for influence in the Caucasus. Relations with Russia became more strained period with Czar Nicholas I<sup>263</sup>

The most serious fighting between Muslims and Armenians has been with Russia- Iran wars and Turk- Russia wars in 1827-1829. A population exchange started to between the Armenians and Muslims, the Russian invasion of the Ottoman countries, Armenians take place alongside the invaders Russian, reaching the highest number of deaths of Muslims, exulsion Immigration to be forced of Muslims.

The first movement of the Armenians in the Ottoman Empire that played the significant role in the appears to immigration event we can summary like this;

Armenians wanted to rebellion the date 1545 in the time Sultan Suleiman the Magnificent for the first time under the pretext of tax we look eyes of citizen themselves during the history forgetting what we given in Fatih Sultan Mehmet period.<sup>264</sup> Russia on the one hand European states on the other hand have break to pursued policies the Ottoman Empire. Our Christian minorities ,American missionaries have used the Armenians and Georgians, especially in Anatolia in that time via the consulates, various organizations, committees,

<sup>261</sup> Yağcı, “ Osmanlı Devletinin Kafkasya’da ki Askeri Yatırımları” s.24

<sup>262</sup> Tornau, Feodor Feodoroviç , “ Bir Subayın Kafkas Anıları”, s. 9

<sup>263</sup> Mustafa Budak, “ Rusya’nın Kafkasya’ya Yayılma Siyaseti”, s. 655

<sup>264</sup> Patriklik, okullar, şirketler kurmaları, sosyal ve ekonomik diğer haklar, Ermenilerin tüm isyan ve kötülüklerine rağmen 1918 tarihinde bile Ermenilere karşı gösterdiğimiz hoş görünün belirtisi olan bir anekdot şöyledir. Halil Kut’un 1918 tarihinde Erivan’daki bir hatırası “ Kendisine tercüman olarak verilen Osmanlı Adliye eski Müfettişi Karabet Ayıcıyan’ın Osmanlıdan kalmak istemeyerek Erivan’a gittikten sonra buraya gelen Halil Kut’a İstanbul’da kalan ailesinden haber alamadığını söyler ve kendilerine yardımlarınız olabilir mi? der. Hali Kut derhal haber göndererek İstanbul Bakırköy’de bulunan Ayıcıyan ailesine kendi hesabından elli altın ödenmesi kimden ödendiğinden bahsedilmeden, bundan sonrada her ay 100 lira ödenmesini istemiş ayrıca Erivan’da bulunan Karabet Ayıcıyan’ın sağlığının iyi olduğunu kendilerine bildiriniz” Halil Kut, Eylül 1918 de Erivan ve Ermeniler, Ermeniler”, Ermeniler Hakkında Makaleler ve Derlemeler, A.Ü. Kuruluşunun XX. yıl Armağanı, C.II, Ankara, Kalite Matbaası, 1978, s. 153-154

missionaries in order to achieve to purposes. 17 major missionary center found in Turkey and 174 missionary's stalks were seen the year of 1914 began in the First World War.<sup>265</sup> These need to add the Masonic lodges that are established to achieve the political goal. Armenians are gone persist revolts and the rebellions in our country since 1545. It has been found that 57 revolts from the year. Revolts that made in the years of 1782, 1786, 1808, 1815, 1818, 1831, 1842, 1850, 1865, 1879, and 1895 became the most important of these.<sup>266</sup> Armenians sending assassins to Ottoman lands occasionally Armenians sending assassins to Ottoman lands the except for these rebellions.<sup>267</sup> According to "History of Operation of Armenia" called his book by Varanty. Even existence of nation called Armenian in Europe was unknown. However, the Armenians of Turkey as of Armenian culture, language, history and literature were very strong and free when they compared to Russian Armenians. The Armenianhood did not exactly know even as aname of a nation in Europe in XIV. Century.<sup>268</sup>

First community founded by the Armenian community in the Ottoman Empire started to operation "Philanthropist Society" in Istanbul in 1860. Although it has a charity members have been shown to interfere in the matters secret rebellion. "Ararath" in Van and "School Lovers" in Mus East ", Erzurum," Nationalist Women" in East " Erzurum," has revealed new societies between the years 1870-1880. They were established in always religious or social purposes.<sup>269</sup>

Muslims in the east of the fire by sliding the Russian arcing region Revan began a gigantic scale population Exchange in the wars of 1827-1829. Approximately 30% of the Muslim population of the Khanate was forced to death and migration in the date on which the Russians captured the Revan Khanate. Revan region was an Iran city where covered by Republic of Armenian in present and found the majority of Muslims until the years of 1827. The destruction of the Muslim population, or were forced to emigrate, this region has

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<sup>265</sup> Zeki Başar, "Geçmişteki Davranışlarıyla Türkler-Ermeniler", *Ermeniler Hakkında Makaleler ve Derlemeler, Ata.Ü. Kuruluşunun XX. yıl Armağanı*, C.II, Ankara, Kalite Matbaası, 1978, s.18

<sup>266</sup> Yılmaz Akbulut, *Ermeniler ve Bingöl'de Ermeni Tehcirleri*, Ankara, KB, 1998, s.22

<sup>267</sup> BOA. A.MKT.MHM. 537/26

<sup>268</sup> Süleyman Kocabaş, *Ermeni Meselesi Nedir Ne Değildir?*, s. 68

<sup>269</sup> Cevdet Küçük, *Osmanlı Diplomasisinde Ermeni Meselesinin Ortaya Çıkışı (1878-1897)*, İstanbul, TDAV, 1986.,s. 100

enabled the Russians to re-populate the Armenians came from Iran and the Ottoman Empire. Instead of each population from the Armenian population was forced to migrate to neighboring countries Muslims.<sup>270</sup> In resistance to the Russian part of the Erivan Khanate Muslims, including Turkey in 1827, they started looking for places to get out the country. Nine thousand Azeri Turks, according to a source at that time, around 3000 and 1500 Kurdish families have moved about 500 families. Most of the people Bayezit, while the rest had fled in Kars. Kurds away from the Russian border have gone up to Mus. Demographic transformation of the population in the occupied countries were the main elements of the Russian colonial politics. The method for the this policy followed toward a single purpose, The expulsion of Muslims from the region was formed of placing Christians in these region as an alternative. Russia, these slumping event made in peacetime except for wartime.<sup>271</sup>

During and after the signing of the Agreement of Edirne in 1829 Armenian group consisting<sup>272</sup> of a crowd of 24 000 households from Eastern Anatolia going to The Caucasus country,<sup>273</sup> departed from Turkey and immigration<sup>274</sup> event was reliazed in Turkey for a part of Muslim in accordance with Article 15 of the agreement.<sup>275</sup> Ottomon Empire have kept a compulsory settlling, cooperating with the Russians in 1828, the Catholic Armenians in Istanbul, some of the leading members of the Catholic Armenians were sentenced to death. Also the property of the Armenians confiscated but various pressures, Russia attempt that been in Anatolian and Rumelia has been prevented to it.<sup>276</sup> Russia has been consistently prints for migration to the region of the Nestorians except Armenians. A lot of Nestorian families given the money and gold and some of them stimulated to migrate in Revan region by means of estating expensive cost regions where

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<sup>270</sup> Justin McCarthy, *Ölüm ve Sürgün, "Osmanlı Müslümanlarına Karşı Yürütülen Ulusal Olarak Temizleme İşlemi 1821-1922*, 1998, s. 30-31

<sup>271</sup> Safarov Rafik Firuzoğlu, "Kırım ve Kafkasya'dan Osmanlı İmparatorluğuna Göçler", s. 687

<sup>272</sup> Edirne antlaşmasının söz konusu maddesi iki taraftaki halktan karşı tarafa geçmek isteyenlere 18 aylık süre tanıyordu. Bu süre zarfında herhangi bir zorlama, baskı ve sair olmadan isteyenler göç edebileceklerdi.

<sup>273</sup> Abdullah Saydam, "Kafkasya'da Bağımsızlık Mücadeleleri ve Türkiye", *KTÜ Yayınları*. Trabzon 1993 s.51

<sup>274</sup> Şenol Kantarcı, "Tarih Boyunca Ermeni Sorunu" Ermeni Sorunu El Kitabı, ( Haz. Şenol Kantarcı, Kamer Kasım, İbrahim Kaya, Sedat Laçiner), Ankara, *ASAM yayınları*, 2002, s.13

<sup>275</sup> Şahin, ***Türk İdarelerinin Ermeni Politikaları***, s. 132-133

<sup>276</sup> Kantarcı, "Tarih Boyunca Ermeni Sorunu" Ermeni Sorunu El Kitabı, s.11

located in them.<sup>277</sup> Every effort was made by Russia in order to the region to be Christianized.

21010 Armenian family in North Azerbaijan namely 119.500 people were forced to migrate a total of two years in 1828-1830 years. Armenian population also in Revan was reached tripled figures of the Agreement of Turkmen Cayı. Russia was created artificial boundaries of a Christian between Turkey and Azerbaijan after captured to Revan.<sup>278</sup>

Population of Revan's city consists of The Muslim Turks greatly after the invasion in 1831 immediately. City was composed of other nations, 4484 Armenian , 7331 The Muslim Turks. According to another Information Province of Revan consisting of one quarter of the population of Armenians and It was understood that the majority of Turks.<sup>279</sup>

Russian who Caucasus separates into two administrative regions in 1839 Prince Vorontsov King brought to the administration of the region as regent in 1844. Vorontsov determined to provide public order by dividing the small province to region. Armenians connected with this division of Tbilisi province.<sup>280</sup> After a while, Independence did not happen as Armenians wish even if province of Erivan established .But this land provided to consisted borders of Armenian state that established at the present time.<sup>281</sup>

At the head of provience of Erivan that established formally after 1850 found a military governor and Provincial court consisting of high Russian officials with the other deputy governor the local established Seriah Council that became a specific Muslims under presidency of Shaykh al-Islam Revan Province was divided into seven mishap consists from Revan, Gyumri, Nakhchivan, New-Beyazit, sociable, Daralagez, Etchmiadzin.<sup>282</sup>

Russians in the eastern province of discharge revealed the matter of be resettled people. It clearly showed sympathy to Russian and thousands of Armenians who had followed the army were placed by the Russians to place newly acquired in Revan, Ahılkelek ve

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<sup>277</sup> Tayfun Atmaca, *Yirminci Yüzyıl Sonunda Azerbaycan-Türkiye Münasebetleri (1993-1998)*, Ankara, Şafak Matbaası, 1999, s. 11

<sup>278</sup> Tofiq Mustafazade, "Rus Dış Politikasında Ermeni Kartı", Hoşgöründen Yol Ayrımına Ermeniler, *Erciyes Üniversitesi-Neşehir Üniversitesi II. Uluslararası Sosyal Araştırmalar Sempozyumu, 22-24 Mayıs 2008*, ( yayına hazırlayanlar Metin Hülalü, Şakir Batmaz, Gülbadi Alan), Cilt: 4, s.235-236

<sup>279</sup> Nurcan Toksoy, *Revan'da Son Günler Türk Yönetiminden Ermeni Yönetimine*, s. 31

<sup>280</sup> Kamuran Gürün, *Ermeni Dosyası*, Ankara, Bilge Yayınevi, 1988, s.81

<sup>281</sup> Gökhan Bolat, "Ermeni Meselesinin Ortaya Çıkışında İran'ın Rolü ve İran Ermeni İlişkileri", s. 230

<sup>282</sup> Toksoy, *Revan'da Son Günler Türk Yönetiminden Ermeni Yönetimine*, s. 33

Ahıska.<sup>283</sup> The Ottoman Empire that not lean to migrate from Antolia to Caucasus, The governor of Kars engaged in the trade of the inhabitants of the region to take more forced money, taxes and towards an investigation opened against him for Revan caused by the exodus of some families on 1856.<sup>284</sup> Emigrants coming the Ottoman country have not step back to help the Ottoman Empire Cafer Aga who taken refuge in Zile sides was be ready to order the Ottoman sultan was reported payitah with thousands of soldier in 1851.<sup>285</sup> Revan province population was composed of 667 000 people in 1868. The Muslim population became a significant portion of the waste and an important part of the refugees in consequence of the wars was to constitute a majority of the population.Especially Armenians were gathered mishaps of in the Gyumri, New Beyazıd and Eçmiyadzin.<sup>286</sup>

### Result

Emigrants event affects the social and economic conditions of the countries subject to the influx of refugee as it affects the world of the immigrant. Because the immigrant coming leaving only memories of everything reach a certain level both social and economic conditions stands out against them as humanitarian mission as well as political.Anatolians began with the migrated that became to Anatolia thousands of Muslims in the Caucasus result of invaded by Russians .<sup>287</sup>

The a result of immigration occurs a class called for ‘‘Immigration of Revan by indigenous peoples of the East and Southeast. Today, the amount of in Turkey represents a large sum. A portion of The emigrant are Azeri and a portion of them are Kurdish and a portion of them are Turks. Migrations starting from the date of 1828-1829 and continued until the 1920s. Azeris generally migrated to Iran and Turks, Kurdish migrated to Turkey.

Ottomans, has made significant efforts on behalf of the Turkification and Muslimisation after settling to the Caucasus.An important amount of Muslims population were settled

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<sup>283</sup> Tekin Taşdemir, *Türkiye'nin Kafkasya Politikasında ‘‘ Ahıska ve Sürgün Halk Ahıskalılar’’*, İstanbul, IQ Kültür Sanat Yayıncılık, 2005, s. 95

<sup>284</sup> BOA, MKT.UM, 286/7 (Kars ahalisinin satmak veya ev yapmak için naklettikleri keresteden zorla vergi alındığı zabtiyelerin zahire nakli için haksız yere aldıkları parayı tahsil edip iade etmedikleri , bu durumun bazı hanelerin Revan cihetine göç etmesine neden olduğu ve yetkililerce bazı hisım ve talükatin kayırıldığı iddiası üzerine Kars Mutassarıfına tahkikat açılması ile ilgili)

<sup>285</sup> BOA. AMD, 49/44 (Revan ahalisinden Cafer Ağa nam kimesnenin istinbarası iki bin nefer süvari ile Sivas eyaletine tayin ile Zile kasabası ahalisinden yetmiş seksen kadar kimesne dahi islahları ile hadimeleri cenabı padişaha bulunmak üzere oldukları ifadesine ve surette dair Sivas Valisi Hızır Paşa hazretleri ile Kars saadetlü paşa taraflarında tevarüt eden tahririne ve ve evrak süreleri icap edenlere tahririn gönderilmesi evrakı merkume serasker müşiri ile hazretleri iade olacağı beyanları olduğu...)

<sup>286</sup> Toksoy, *Revanda Son Günler Türk Yönetiminden Ermeni Yönetimine*, s. 35

<sup>287</sup> Sarıcaoğlu, ‘‘İskan-ı Muhacirin İ'ane Pulları’’, s.609

from Anatolian to region. Local people feels to need back to Turkey on the behalf of protect of themselves region with capturing to Russia. This situation accompanied with a lot of of social and political dramas.

**Role of Allocative and Operative Justice in Emotional Exhaustion and  
Desensitization Level of the Academists**

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**Abstract**

In this work has aimed to determine the the connection explaining the relationship between these concepts by moving of the effects of emotional exhaustion and depersonalization level on the employee and operative justice which is an element of organizational justice and that expresses how a path followed during the performance in the distribution and obtain reward in proportion to the work they do, which means employees' distributive justice organizations. For this purpose, over 112 academic staff that located in Ardahan University has conducted a questionnaire. In consequence of received findigs are determined to affected allocative and operative justice which the organizational justice sizes of emotional exhaustion and desensitization.

*Keywords:* allocative (distrubitional) justice, operative justice, emotional exhaustion, desentization.

### **Role of Allocative and Operative Justice in Emotional Exhaustion and Desensitization Level of The Academists**

Workers has great importance to the productivity, effectiveness and quality of the goods and services produced by the organization. In this reason human factor's that produced and operated information and want to use for the purposes of the skills and abilities of the organization satisfaction are ignored by organizations and director in terms of metarial and moral. Justice that defined as rights and compliance with the law, regardless of right, truth, provide everyone with its corresponding and their rights denied to at the satisfaction of employees. Size of allocative and operative justice have an important place known as the questioning of perceived organizational justice in ensuring justice especially focus employees' perceptions of justice in the workplace. The essence of the concept of allocative justice, equal effort is required to bring equal results(İşcan ve Naktiyok, 2004:187).So set out herein, workers from distrubiting resources think that taken a share fairly. But It is also important to be aware that while distribution decisions were taking as how is that distribution in terms of justice in order to fully ensure the integrity. At this point the concept of operational justice comes into play(Atalay, 2007: 12, Özdevecioğlu, 2003: 78) This justice's size is related to the impartiality or objective in decision-making regarding the awarding of the prizes (Chan, 2000: 73).

In this way the justice sizes while imparting to the organization, the gains made by employees (salary, bonus, promotion, etc.) thinking is equal to their contribution to the organization, the observance of the perceptions and to show positive attitudes and behaviors towards the organization as a result, the rights should be provided. In the event of not provide contribition that provided by organization with received achievements

namely, in case of failure to provide an adequate level of organizational justice incipient failure occurs emotionally. In this case the employee will be such as exposed to stress, the overall organization, colleagues and anger against manager, jealousy, anger, resentment and thoughts will enter into reactions. Eventually they will decrease the production rate and quality and they will show negative behaviour towards customs, colleagues, managers. These negative emotions experienced injustice continues, thoughts and reactions become chronic future and thus a person's emotional and physical resources excessively worn and expressing their feeling of being finished burnout (Maslach and Leiter, 2008: 498) will get off the ground.

The beginning of the burnout syndrome and central and most important component of this is emotional exhaustion. This component of burnout syndrome is more related to job stress. Person who lived within busy schedule emotionally, person are overwhelmed by the emotional demands of other people and forced to themselves. In this case, the individuals who have emerged as a response to the emotional exhaustion, as efficiently as in the past to people he serves, and is considering whether to act responsibly. Individuals are concerned about going back to work the next day in this way tension is loaded with stress and frustration feelings (Ertürk ve Keçecioğlu, 2012: 44; Üngüren, Doğan, Özmen ve Tekin, 2010:2923). Emotional exhaustion is not enough alone at diagnosis for burnout syndrome It must be at approach the situation with a holistic perspective that included their sizes to talk about this syndrome(Polatçı, 2007: 39).

These other sizes, it works with individuals served by or negative against individuals expressing desensitized to be solid and dull (Naktiyok ve Karabey, 2005:183). Individuals are shown an attitude callous, cold and distant exhibit lose confidence and faith in the other

person and condescending towards those who work in the workplace. They minimize work participation, and they put an end even to their ideals (Cöbek, 2010: 16, Ören ve Türkoğlu, 2006:2). Burnout living person will lose his passion towards work and self-confidence slowly. In this case, rather than after personal problems, becoming an organizational problem anymore. Because people not only in its later stages, it will be damage in the objectives of the organization and the organization. Such organizations and such distributional and operational justice perceptions within the organization in order to avoid negative situations should be provided to not come across with unwanted behavior. So should be included distributive justice and operational justice such as organizational process of negative emotions and emotional exhaustion and depersonalization their employees should be avoided. At change in movement emotional exhaustion and depersonalization level from this point and reveals the impact of operational justice and distributional is the purpose of the study to determine the relationship between these phenomena.

### **Method**

Based on quantitative data and measurement methods data collection tool used in the research study and have been used from survey methods. The universe of the study constitutes of Ardahan University academic staff. According to findings received from Directorate of Personnel Works Department of the University there are a total of 186 academic staff. As 126 staff and 95% confidence limits within 5% error margin to be in the estimation of the universe sample size was determined 129 of the distributed questionnaires were returned. Return of the survey response rate was 92%. The main cause of the high rate of return of the questionnaires, indicating the disclosures required by the

questionnaire survey system is sent directly to the university's own academic staff's e-mail address. 7 of returning some of the staff of the questionnaire statements have not been evaluated due to incomplete assessment. The number of surveys that are subject to analysis is 122. Organizational justice scale developed by Moorman was used to measure the perceptions of academics distributive and procedural justice. The first 7 expression procedural justice is intended to measure the last 5 expression is distributive justice perceptions (Niehoff and Moorman, 1993). Maslach and Jackson to measure burnout levels of academic staff (1984) was developed by and Ergin (1995) was adapted to Turkish Maslach Burnout Inventory-MTA (maslachburnout Inventory-MB) were used. First sub-factor is "emotional exhaustion" that consisted from 9 matters and second is "desentization" that consisted from 5 matters. Level of reliability of the scales calculated with internal consistency method and cronbachalphi reliability degree is used. First of all distributive justice, procedural justice, descriptive statistics levels of emotional exhaustion and depersonalization, were analyzed the purpose of look for an answer to research question. Then, determined that the relationship between the variables and correlation analysis and the regression analysis described in a mathematical model representing the relationship between variables were evaluated relationships between variables. Academic staff's gender, age, marital status, academic title, if the differences in perception levels related to the variables in terms of demographic and environmental features such as workload of one-way analysis of variance (anova) with demonstrated.

### **Findings**

Worker's distributive and operational justice with emotional exhaustion in grade are given the differences in terms of socio-demographic characteristics of depersonalization,

describe statistics the sizes of burnout relate to emotional exhaustion, desentination, relation between subdimension.

*Table 1: Findings in the terms of environmental and demographical mobility*

CHARACTERISTIC		F	%	CHARACTERISTIC		F	%
SEX	Female	41	33,6	<b>Academic Title</b>	Prof.	14	11,5
	Male	81	66,4		Teaching . Asis.	42	34,4
AGE	21-30	90	73,8		Lecturer	16	13,1
	31-40	28	23,0		Research Assi.	50	41,0
	41 and over	4	3,3	<b>Administrative Function</b>	Exist	18	14,8
Marital Status	Married	35	28,7		No	104	85,2
	Single	87	71,3	<b>Weekly Course Load</b>	My Course Loan No	52	42,6
The Number of Children	No	19	54,3		1-10	24	19,7
	1	13	37,1		11-20	29	23,8
	2 and over	3	8,6		21-30	17	13,9

Academic staff that attended the work are seen their answer to personal and vocational questions that located in first part of the survey in Table1. For survey 33,6% of respondents (n=41) female, 66,4% of respondents are male. 73.8% (n = 90), 21-30, 23% (n = 28), 31-40, 3.3% of the academic staff involved in the research are age range 41 and over. When marital status of the academic staff participated to survey looked at,28,7% of them are married and 71,3% (n=87) of them are single.54,3% of the married staff have no children. 37.1% (n = 13) 1, 8,6% of them have 2 and more children. It is seen that academic staff of the 11,5%(n=14) of the sample are professor, 34,4% of them (n=42) are teaching assistant, 13,1of them (N=16) are lecturer,41% of them(n=50) are research assistant. It specified that % 14,8(n=18) of this staff are administrative function, 85,2% of them (n=104) have not administrative function. It determined that 42,6% of academic staff have not course loan, 19,7%of them (n=24)have 1-10 hours,23,8% of them(n=29) 11-20 hours,23,8%of them (n=17) have 21-30 hours weekly course loan.

*Tablo 2.Relation Between Allocative and Operative Justice with Emotional Exhaustion and Desensitization*

<b>Factors</b>	<b>Rate</b>	<b>S.s</b>	<b>1</b>	<b>2</b>	<b>3</b>
<b>1. Operative Justice</b>	2,63	0,92			
<b>2. Allocative Justice</b>	2,87	1,08	0,475**		
<b>3. Emotional Exhaustion</b>	2,37	0,86	-0,505**	-0,506**	
<b>4. Desensitization</b>	2,03	0,67	-0,287**	-0,111	0,501**

\*\*Correlation is meaningful at 0,01 level.

In the purpose of determining relation to emotional exhaustion and desentization and justice perception of the allocative and operative has benefited from corelation analysis. Operative justice, which have the strongest relationship significance level of 99% between emotional exhaustion relationship was negative and significant ( $r = -0.505$ ), with depersonalization weaker relationship negative and significant ( $r = -0.287$ ,  $p < 0.01$ ) was observed in Table 2. When In terms of distributive justice looked at the strongest negative relationship ( $r = -0.506$ ;  $p < 0.01$ ) it is seen that the emotional exhaustion, as in transactional justice dimension. According to operative justice and emotional exhaustion stronger than relationship between distributive justice has been found to be much of depersonalization relationship. 99% significance level of distributive and operational justice movement from these data that the negative and significant correlation with emotional exhaustion, it is seen that in a negative relationship with the depersonalization of procedural justice. It is possible to commented in this case like this; while operative justice was increasing levels of emotional exhaustion and depersonalization were decreasing. While allocative justice was increasing, emotional exhaustion was decreasing again.

Table 3. Impact to Emotional Exhaustion of Operative and Allocative Justice

Dependent Variable: Emotional Exhaustion			
Independent Variable	Std. $\beta$ Coefficient	t	p
(Stable)		16,011	0,000
<b>Size of Operative Justice</b>	-0,312	-3,250	<b>0,002</b>

<b>Size of Allocative Justice</b>	-0,339	-3,998	<b>0,000</b>
<b>R<sup>2</sup>=0,348</b>	<b>Flatt R<sup>2</sup>=0,332</b>	<b>F=21,025</b>	<b>p=0.00</b>

In the purpose of the determining impact to emotional exhaustion of the operative and allocative justice benefited from regression analysis. In the first model, the dependent variable in emotional exhaustion operative justice and distributive justice are considered as independent variables in Table 3. F test has given significant results in this equality. The data obtained the academic staff of emotional exhaustion on the largest impact on distributive justice size ( $\beta = -0.339$ ;  $p = 0.000$ ) when observed to be effective, it is observed that emotional exhaustion of secondary effects of operative justice dimensions ( $\beta = -0.312$ ;  $p = 0.002$ ). So the increase in academic staff distributive and operational justice perceptions, leads to a reduction in emotional exhaustion. Therefore, managers justice emphasis on these two dimensions can provide the further reduction of emotional burnout.

Table 4. Effect to Desensitization of Operational and Distributive Justice

Dependent Variable: Desensitization			
Independent Variable	Std. $\beta$ Coefficient	t	p
(Stable )		9,876	0,000
<b>Size of Operative Justice</b>	-0,411	-3,679	<b>0,000</b>
<b>Size of Allocative Justice</b>	0,015	0,154	0,878

<b>R<sup>2</sup>=0,115</b>	<b>Flatt. R<sup>2</sup>=</b> 0,092	<b>F=5,105</b>	<b>p=0.02</b>
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The second model desensitization is defined as dependent variable, also operative and allocative justice are defined as independent variable in Table4. F test is given significant results in this equalityIt observed from table. Size of the operative justice ( $\beta=0,411$ ;  $p=0,000$ ) has great affect over desensitization level of the academic staff. Academic staff always keeps in communication with students and coworkers. The most important duty of academists are give a lesson and done scientific study. Academicist who desensitization their students and their friend requirement of job can not done their's duty completely. They can not want to attend to class and they can not creat joint work area with friends. They can be like as marginalized themselves and they can be seen as fly in the ointment. In this reason desensitization of the academic staff can decrease when operative justice gained importance.

### **Results and Suggestion**

Firstly in porpose of determined relationship allociative justice and emotional exhaustion of the operati and desensitization from organization level benefit from correlation analysis. According to result of this analysis it seen having to negative and meaningful relationship statistically and between allocative and operative justice, emotional exhaustion and desensitization in medium-level. The first dimension of organizational justice procedural justice, which is a strong negative and significant relationship between emotional exhaustion also the weaker desensitization was observed to be negative and significant relationship. In other words increased persepction of the operative justice leads to emotional exhaustion decreasing and staff leads to feeling less

desensitization. When in terms of allocative justice looked to relations as the strongest negative relationship is observed that the operational justice factors and emotional exhaustion. According to operational justice and emotional exhaustion within relationship seem to be in a stronger distributive justice has been found to not the relationship between depersonalization. In this case the increase perception of distributive justice, means that the decrease in emotional exhaustion.

When examining the results of the regression analysis reached slightly different results from the correlation analysis. Firstly emotional exhaustion handled as dependent variable distributive and procedural justice sizes were considered as independent variables. Accordingly, it was observed that the operational and allocative justice perceptions of the staff have a strong influence on the emotional exhaustion. So increasing operational and staff perceptions of allocative justice leads to a reduction in emotional exhaustion. Depersonalization was considered as dependent variables, operative and distributive justice sizes were considered as independent variables in the second step of the regression analysis. Perception of operational justice staff has been shown to be effective over desensitization. According to results elevation of staff perceptions of operational justice may lead to decrease of desensitization. Decrease of the desensitization is important for academic staff. Because staff who desensitized to their students and coworker can not want to attend lessons and they can not create joint study area with their friend. In this case they can start to seen as unlovable person and progressively they can feel marginalized themselves.

In this reason increase of perspective of the operative justice is important for pretent to desensitization. When the results were analyzed in terms of control variables; gender,

age and marital status of the staff in the distributive and operational justice perceptions and levels of depersonalization and emotional exhaustion is observed that significant difference. In terms of mobility number of the children distributive justice and procedural variables and emotional exhaustion and depersonalization dimensions is observed significant differences. Staff who without children lives less emotional exhaustion by the staff of a child. Staff who have a one baby is unexperience about childearing. Person who been torn between job and partner and children if they dont go on consonantly this factor emotional exhaustion of person became unavoidable. Since person that in touch between husband, children, job for pretent and for decrease exhaustion state shoul be encourage about permission to partner that have a child and giving necessary information to partner who have a one child about this subject and it can be reduction to their excitement and their fear. In terms of variable of the academic title it analyzed a meaningful difference in perspective of operative and allocative justice, also it analyzed difference perspective of emotional exhaustion and allocative justice level.

Perspective of the professor's operative justice are found higher than perspective of research assistants and lecturers. Owing to being young industries universy, in every part of professor are found to an administrative function. Professor who taken their duty to application and make a decision can not be wanted to question justice of desicions that make a own decisions and applied or they can be believed in fair this. Perspective of the allociative and operative justice and course loan variable of the academic stuff are analyzed a meaningdul difference also emotional exhaustion and desensitization level are not analyzed a differences. While staff who were entering more course considering entering a low level of operative justice entering the course will be called up by regular

staff and personnel entering into any lesson is to think over the course of distributive justice is high.

Staff who entered a more courses can be overwhelmed by extreme workforce. In this case can be causes to thought that not fair decisions of the courses delivery. Staff who attend the class between one and ten hours because they attend the class within reason, they can be thought to be fair administrative and distribution. But any staff don't live exhaustion in order to courses loan. In other words, universty that have young population has not pose a problem for be more and less course loan. Also not fair distribution of the courses are seen as a problem.

Especially staff who have extreme workforce to attending the more course can be lived exhaustion in order to they are young and have their desire to work. Problem is not be fair process of course distrubition. While course distribution was doing to explaine why given more course clearly or if decisions taken with staff it can be solve this problem. In terms of administrative function variable while perspective of the operative and allociative justice shown to a meaningful difference also emotional exhaustion and desensitization are not shown a meaningful difference. Staff who have administrative function is fall their perspective of allociative justice. Staff who have administrative function must be focus on rather their subordinate's interpretation than their own interpretation. Beside this staff is more study than others although this stuff can be provide to less profit it can be think like this. This case can be decreased to perspective of the allociative justive of the staff who have administrative function.

Findings of this research are shown to improtant for search because it told us there are relation with emotional exhaustion and allociative that been bornout level, allociative

and operative justice that been from sub-dimension of organization justise are important concepts for organisms. Worker, director and state must be keep communication with each other for rising perspective of the allociative and operative justice. Perspective of the justice is a subjective judgement. In this reason contribution of the workes must be thought correctly and then accordingly they shooul be compared that other workers. Director must take care of be fair and quality communication with subordinate and director must evaluate objectively this contrubition and they must delivery profit of this staff within content of the fair. State must make a regulation and must prevent to injustice considering to working conditions of the cities and universities. Likewise staff, director and state must work within cooperation for decrease of emotional exhaustion and desensitization, this disease must be treat with the least damage.

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## **THE READING WOMAN IN PAINTINGS**

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### **Abstract**

Artists deal with different aspects of women in their works. Painters, being unable to remain insensitive, also portray women during different occupations. In paintings, reading activity is included as one of the areas of interests for women as well. In our report, the “reading woman” image which has drawn considerable interest in the art of painting shall be emphasized. In almost all nations, paintings on this subject from different painting movements exist. While women become the focal point of painters with their grace, beauty and charm, the artist wants to emphasize the emotiveness and mind of his figure with the book he places in her hand.

Women who were treated as symbols of fertility especially in sculptures are begun to be handled with their different aspects in the art of painting with the enrichment of the woman’s identity and portrayal of topics outside religion in time. Apart from her roles as a wife and mother, woman starts to take her place in the social life as a literate. At this point, woman-book phenomenon becomes apparent in paintings which deal with topics outside religion.

In the first half of the 19th century, some male painters such as Carl Spitzweg, Auguste Steinheil, Alexandre-Gabriel Decamps prefer male figures in their ironic paintings named “book worm”, “bibliophile”. Apart from these, woman-book constitute an almost inseparable duo in paintings.

## READING WOMEN OF WESTERN PAINTERS

The reading women theme in the Western art of painting appears with the Mother of Jesus known as Mary, Virgin, Virgin Mary or Madonna. The source of the “Woman-book” combination in paintings is based on religious-themed art. Mary is depicted in many paintings due to her religious position. Therefore, we encounter a smart, wise woman.

In miniatures painted on parchments, there is a book in the hands of Madonna. In ornamented book miniatures such as “The book of hours” and paintings where the message of Madonna becoming the Mother of Jesus being given to her by Gabriel is depicted - “The Annunciation” - Madonna welcomes the angel while continuing to read or taking a pause from reading. In the meantime, her hand is on the line she reads from time to time. This scene and other scenes in which important anecdotes of Christianity are depicted are repeated time after time by different painters of different nationalities in their own styles throughout the centuries. The theme of announcement reached its most successful depiction with painters such as Fra Angelico, Leonardo da Vinci and Rafael. In these paintings, the book is a non-negligible motif.

When Madonna is alone; when she is with saints; she is depicted together with Baby Jesus and mostly reading a book on her lap. In these paintings, while some painters make a more intense contact between the book and Madonna, others depict the book as a decorative object in the hands of Madonna or saints.

As a wise woman, Madonna is also responsible from the education of her son Jesus. There are paintings in which Madonna is depicted as teaching Jesus to read: Pinturicchio (1454-1513), “Virgin teaching the christ child to read” (1490-95).

There are paintings where angels; saints; Mary Magdalene - who washed Jesus' feet with her teardrops - are depicted while reading. In the parchment paper used beneath a prayer book dated 1470 (Taddeo Crivelli, Saint Catherina of Alexandrio with her Wheel Gualenghi-d'Este Book of Hours), praying of Saint Catherine, one of the famous women of the Middle Ages, through the book on the lectern is depicted.

The Saint who holds a book in the panel known as Bartholomew Altarpiece by Bartholomeus Altaar (1445/1450-1510/1515) is Agnes, the patron of chastity, gardeners, girls, engaged couples, virgins and rape survivors. Saint Agnes, also known as Agnes of Rome, is depicted in Western art mostly with a lamb and sometimes with an open book in her hands. In the panel, Saint Agnes reads the book she holds in her left hand with a facial expression of contentment.

The Flemish painter Ambrosius Benson (1484-1550) depicts a young woman while reading a prayer book in his painting "Young woman in Orison Reading a Book of Hours" (1520). Thus, civilian women and religious books are seen together.

In the reading women of paintings, a transtition from women with religious identites to women from wealthy families occurs.

The model (1555-60) of Italian painter Agnolo Bronzio (1505-1572) is the poet Laura Battiferri (1523-1589), wife of the Florentine architect-sculptor Bartolomeo Ammannati who lived in the XVIth century. The painter depicts her with her notebood which is turned to the audience as far as possible. In another of his paintings, Bronzio depicts Lucrezia Panciatici (1545), the bride of a banker family in the XVIth century Italy, with her book in her hands highlighting her aristocratic dignity.

In the “Isabelle I of Castile” (1520) painting, whose belonging to Gerard David (1460-1523) is doubtful, Isabelle (1451-1504) wife of the Spanish king Ferdinand is depicted as sitting next to Mary but at a lower position. Her hand is on the line she is reading and her eyes are directed on anyplace. In “The Virgin and Child” (1530) painting of the Dutch female painter Master of the Female Half-Lengths, Madonna is depicted in front of a landscape and as thumbing through the pages of the book on the table.

The book carries a meaning with the other components of Christianity in the paintings named above and others which deal with the same theme. The holy book, along with Madonna, Jesus, John the Baptist, Mary Magdalene and saints, is an important religious motif included in religious scenes. Painters place prayer book and notably the holy book in the hands of woman figures in their paintings.

Following the woman-book relationship from paintings clearly show the movement of the art of painting from religious themes to social life. The Bible and prayer books which found their places in paintings accompanied with Madonna, Jesus and Saints are begun to be depicted in the hands of religious women from social life after a while. While the identities of women change, the religious book they read remain the same. In reading women paintings, a transition from the young woman Madonna; Magdalene and Saints to old women occurs.

Dutch painter Gerrit Dou (1613-1675) depicts the mother of his master in his “Old Woman Reading a Lectionary” (Portrait’s of Rembrandt’s Mothers) (1630) painting. The painter places the book in the hands of the old woman in a style which is clearly visible to the audience, inclined to the left. The oversized book is significantly voluminous. The book the woman reads is a holy book (lectionary: including some sections reserved for reading

in religious ceremonies in some churches) as is evident from its name. In the “Old woman praying” (1640) painting of the painter, an old woman reading the holy book is depicted as well.

In the “Old woman dozing” painting (1656) of the German painter Nicolaes Maes (1634-693), an old woman has dozed off while reading. There are two books on top of the table and on the lap of the woman. We are encountered with dozing off in the face of the religious book as a symbolic warning at the point of forgetting the transience of life and submersion into daily turmoils in the painting.

The education of Virgin Mary by Joachim and Anne becomes a popular subject in paintings beginning from the 16th century. Peter Paul Rubens (1577-1640) depicts Mary as learning to read on the knees of her mother: “The Education of the Virgin” (1625-26). In the “Mother her with child in a cot” (1652-1662) painting of Nicolaes Maes (1634-1693), a young mother whose baby is sleeping looks over her offspring in the cot by taking a pause from reading.

In his “Reading the Bible” (1645) painting, Gerard Dou (1613-1675) depicts an elderly couple from the country while reading the Bible at their home. Woman reads the Bible and her husband follows it with his eyes. In “The night school” (1623-25) of Dou, there are a young woman and girl who teaches and learns how to read and write. Dou depicts an old woman who is thoroughly absorbed in her book in black and white in his “The Reader” painting (17th Century). Frizzled page corners of the book demonstrate that the book has been read many times in this way with interest. The old woman is portrayed in a real activity of reading.

Keisai Eisen (1790-1848) depicts a Japanese woman reading by moonlight in his “Japanese lady reading by moonlight” painting. Reading woman is frequently included in Japanese painting as well.

Painters depict woman as reading musical notes as well. In his “Les Petites Musiciennes-Little Musicians” (before 1734) painting, Jean Raoux (1677-1734) paints two well-dressed young ladies as leaning towards a music book.

Reading is carried out accompanied by live classical music as well. In the “Frederick, Prince of Wales and his sisters” (1733) painting of Philip Mercier (1691-1760), the Princess reads from John Milton (1608-1674) who is famous for his *Paradise Lost* while her siblings play music. Reading makes the young lady emotional and submerges her in thought

(<http://www.npg.org.uk/collections/search/portrait/mw00125/TheMusicParty?search=sp&sText=Frederick%2C+Prince+of+Wales+and+his+sisters&firstRun=true&rNo=0>).

Maurice Quentin de La Tour (1704-1788), known for his portraits, depicts Elisabeth Ferrand (1700-1752) in his “Mlle Ferrand meditating on Newton” (1753) painting with a voluminous book open on the table. As is evident from the name of the painting, the book is by Newton. Madame is thought to be discussing some topics with a person sitting across from her (<http://www.pinakothek.de/en/maurice-quentin-de-la-tour>).

In his pastel portrait named “Full-Length Portrait of the Marquise de Pompadour” (1748-1755), Tour depicts that woman has a role, albeit limited, in the artistic and political life of the eighteenth century. The gown of the young woman who is close to King Louis the XVth is rather ostentatious. Thick-volumed books and a globe are present on the spectacular table. Louvre authorities list the book on the table as *Le Traite des Pierres*

Gravees by Pierre Jea Mariette, De l'esprit des lois by Montesquieu, La Henriade by Voltaire and Encyclopedia (<http://www.louvre.fr/en/oeuvre-notices/full-length-portrait-marquise-de-pompadour>). Books are symbols of the desire to rule and political power of Madame was portrayed by different painters. Madame Pompadour as a portrait which is the example of knowledge, grace, beauty has been preferred as a model in paintings by painters. The books on the lap and under the arm of the Madame demonstrate her cultural areas of interest and literary patronage as well as being widespread elements the painter uses in his portraits (<http://collections.vam.ac.uk>). The painter brings the intellectual and cultural identity of the Madame into the forefront in his "Madame Pompadour" (1758) painting (Faring 2007: 307).

Frances Moore Brooke (1724-1789) is an English novelist, essayist, playwright and translator. She is a well-known writer in London literature and theater community. Catherine Read (1723-1778) depicts her model in "Portrait of Frances Moore Brooke" without idealizing her in all her naturalness, plumpness. The open book on the table and hardbound books under her right arm demonstrate Brooke's relationship with books.

Among the reading young lady paintings, Jean Honore Fragonard's (1732-1806) painting is one of the best-known (A young girl reading-1776). The young lady holds the pocket-sized book in her right hand with all her grace. The reader exhibits an appearance of being integrated with her book.

Letters also constitute an important element among the materials women read in paintings. Letter-woman relationship is subject to satire as well. In the "La Lettre ou Les Jeunes" painting of the Spanish painter Francisco Goya (1746-1828), there is a young lady who is reading the letter she received with the feelings of curiosity and mockery. This well-

dressed woman contrasts greatly with the women doing the laundry in the background, her servant who is holding the umbrella with difficulty and her pet dog.

“The love letter” (1845) painting of Carl Spitzweg (1808-1885) is humorous. A rascal who has climbed up the garden wall dangles the envelope in his hands to the young girl who is reading to get her attention. The old lady beside the young girl nods off.

In the “Marie Antoinette” (1785-1788) painting of Elisabeth Vigée Le Brun (1755-1842) who was invited to the Palace of Versailles to paint the queen, the queen reads a red hardbound book even though she is in an exceptionally magnificent setting with pillows under her feet and arm.

The lady depicted in the “Comtesse de la Chatre” (1789) painting of Marie Louise Vigée Le Brun (1755-1842) is the daughter of Louis XV’s “premier valet de chambre”. Lady Chatre has momentarily raised her head from the book she is reading and has turned to the audience who is watching her. The expression pervading her face is an indicator that she is not quite happy.

In the “In the woods at Giverny” (1887) painting of Claude Monet (1840-1926), there are two figures as one female model who is reading and a female painter who is drawing her.

One of the beautiful and graceful women in “The reader” painting of Marguerite Gérard (1761-1837) is in the position of listener and the other one is the reader. Other books on the end table with their pages open give rises to the thought that these ladies read from different books -maybe poems. The painter who portrays elegantly-dressed women during different occupations frequently includes the reading activity in her paintings

Sir Thomas Lawrence (1769-1830) depicts the wife of France's consul to Denmark while reading: "Portrait of Mrs. Jens Wolff" (1815). Mrs. Wolff reads submerged in her book and feeling rather lethargic. She has an unhappy expression on her face. The shawl covering the top of the pillow which makes her book closer to her, the small cap on her head are symbols of the young lady's belonging to a different civilization.

The "Valléda" painting (1868-70) of Jean-Baptiste-Camille Corot (1796-1875) is a painting inspired by *Heroine of Martyrs* (1809) of Chateaubriand, the pioneer of the Romanticism movement in literature. Valléda is the name of the heroine of the aforementioned book. The young girl exhibits melancholic characteristics in this painting of Corot. Even though her hands are on the open book, she is in an absent-minded state. The "Poetry" (1860s) painting of Corot is allegoric. A young girl is in a pensive state with her eyes closed by the rolled paper she holds.

Painters also feed off of mythology as a source. In his "The reader crowned with flowers" (Virgil's muse) painting (1845), Corot portrays a young girl in a long dress with a crown of small flowers on her head while reading. The reading women with their melancholic faces are one of the figures Corot frequently deals with.

In his "The Oriental" (1838) painting, court painter Friedrich von Amerling (1803-1884) depicts a gloomy, pensive young girl with her velvet caftan and velvet turban while reading. The "Lost in her dreams" painting of the painter (1803-1887) depicts a grieving young woman. The book is about to fall off from the hands of the young lady. The reading activity has been discontinued.

In his "Sister Saint Alphonse" (1841) painting, Antoine Sebastien Plamondon (1804-1895) depicts a nun with the Bible in her hand. The nun's fingers are between the pages.

In the “Reading the bible” (1859) painting of Hugues Merle (1823-1881), a nun tells some scenes from the Bible to two young ladies. The listeners seem very affected. In time, women who read religious books are included less in paintings.

Reading is sometimes somnific. The founder of Realism Gustave Courbet (1819-1877) depicts the dozing off of her daughter on a book in his “Portrait of Juliette Courbet as a sleeping child” (1841) drawing. In his “Dear Polly” painting, Seymour Joseph Guy (1824-1910) draws a loveable old lady for us. An old later is being read after many years. In the “Story of Golden Locks” (1870) painting of the painter, a girl reads a fairy tale to her brothers in the manner of an adult. The depiction of fear of the children on the bed is exceptionally successful. The same painter has other paintings of reading women.

In his “Pleasant Pages” (1875) painting, Frederick Daniel Hardy (1826-1911) depicts a young lady who reads while standing up in her room. In spite of the name of the painting, no contentment is evident on the facial expression of the young women. Paolo and Francesca, characters of Dante’s Divine Comedy, are also portrayed by many painters. The book in which Lancelot, one of the knights of the Round Table, tells of his love for Guinevere paves the way for the intimacy of the couple. Therefore, the paintings in which this couple is depicted do not leave out the book motif. In the “Paolo and Francesca” (1864) painting of Anselm Feuerbach (1829-1888), the mentioned youngsters sit side by side. Francesca has a book in her hands. In the “Paolo and Francesca” (1819) painting of Jean-Auguste-Dominique Ingres (1780-1867), the book in the hands of the lady falls off with the kiss.

Ladies read the small notes sent with the flowers as well: Auguste Toulmouche (1829-1890), “Le billet” (1883). In the Bilet painting, it is clear that an invitation has been

made to the young lady. Lord Frederic Leighton (1830-1896) forms an Oriental atmosphere in his “Study” (1877) painting. The little girl who sits indian-style in her Bindalli-style clothes, leans towards the lectern with solemnity. Liverpool museum authorities indicates that the book is an Oriental manuscript with miniatures ([www.liverpoolmuseums.org.uk](http://www.liverpoolmuseums.org.uk)). In his “The maid with the golden -yellow- hair” (1895) painting, Leighton makes a young maid read in a quiet time as well.

Albert Anker (1831-1910) portrays a maid servant who is reading in his “A Gotthelf reader” (1884) painting. The writer reader in the painting is associated with is the Swedish novelist Jeremia Gotthelf who tells the lifestories of farmers and their families, and servants.

In journeys, book accompanies moments of waiting: In his “The railway” (1873) painting, Edouard Manet (1832-1883) shows a young mother and her little daughter at a train station. Even though the young mother has a book in her hands, her eyes are on the audience.

In his “Two sisters” (1859), “The reader” (1861), “Victoria Dubourg” (1873) paintings, Henri Fantin-Latour (1836-1904) portrays his models who are his sister and wife while reading. Solemnity pervades these paints which are dominated by dark hues.

The reading woman in the “Evening at home” painting of Sir Edward John Poynter (1836-1919) is more like a part of the parlor. The reading activity remains in the background of the painting. In his “Reading” (1871) painting, the painter draws a woman from the Hellenistic period while reading.

James Jacques Joseph Tissot (1836-1902) depicts a mother who lethargically reads a newspaper in her parlor while her three children plays hide and seek in his “Hide and seek”

(1877) painting. Tissot portrays reading women in his paintings named “A widow” (1868), “The Convalescent” (1876), “Kathleen Newton in an armchair” (1878). The painter also makes an elegantly-dressed woman read a newspaper while standing up in his “Reading the news” (1874) paintings. The same painter makes a young lady read in a harbour view breakfast hall in his “Room overlooking the harbour” (1878). In the “Reading a book” (1872-73) painting of Tissot, a young lady with a large hat is portrayed as reading exciting pages as well. There is a smile on the face of the young lady which can be considered as odd. Among the book-woman themed paintings, the closest distance between the eye and the page is in this painting.

In the “Portrait of Helena de Kay” (1873) painting of Winslow Homer (1836-1910), the unhappy young lady, the empty appearance of the room, black dress and dark colors make the mournful atmosphere even heavier.

One of the places where women prefer to read their books is the hammock. In his “Sunlight and shadow” (1872) painting, Homer draws a poetic landscape. The painter repeats the same subject with small differences in his “Girl in the hammock” painting dated 1873. There are reading women in the painter’s “Girl reading under an oak tree” (1879), “The noon recess” (1873) paintings as well. The painter shows the hardworking young student and her teacher while reading in the classroom in his “Lunch Hour” painting. The fact that the lady in this painting is a teacher while the majority of the reading women in other paintings are housewives is important in terms of demonstrating the woman in business life. The painting reflects a period in which a significant change is experienced in the American education system ([www.brooklynmuseum.org](http://www.brooklynmuseum.org)). In “The Country School”

(1871) painting of the painter, a classroom environment is depicted. Children are prepared for life with a new education style by their female teacher.

The young lady in Charles Edward Perugini's (1839-1918) "In the orangery- Girl reading" (1878) painting indifferently reads the book on her lap while sitting on a marble bench. She has an orange blossom in her hand and orange trees stand in the background. In his "Idle moments" painting (1878), Perugini makes her figurine who have lied down on the grass read.

The young lady in Claude Monet's (1840-1926) "The reader" (1872) painting is known to be the first wife of the painter, Camille. In the painting known as "Spring time", the figure leans to the book with all her serenity. Pierre Auguste Renoir (1840-1926) draws the wife of his painter friend Monet as reading on the sofa in his "Madame Monet Reading Le Figaro" (1872) painting as well. In the pastel drawings of Renoir (1841-1919) named as "Young woman reading", "The little reader", "Young girl reading", the same well-rounded cheek, point of the shoulder and breast globe stand out.

It is speculated that the young lady in Renoir's "Young woman reading in white" (1873) painting could be the wife of the painter Claude Monet, Camille (<http://artdaily.org>). The young lady is in a state of total submersion in the book she is reading. The face of the young lady in the painter's "The reader Aka young woman reading a book" (1875-1876) painting is overtaken by a smile. The face has a generally optimistic appearance. The portrair represents a peaceful reader. The young lady has lifted up the book to eye level with a graceful hold. Ahmet Hamdi Tanpınar refers to this painting of the painter while describing one of the Nuran appearances his main character Mümtaz perceives in his A Mind at Peace novel. The painter also has paintings named "The reader" (1877), "The

sisters” (1889), “The little girl-Little girl in blue” (1890), “Two little girls” (1890), “The reading” (1890), “Two young girls reading” (1890-1891). Renoir has a painting which he drew for his daughter who has just learnt how to read and write: “Coco lisant” (1905-Spelling). The finger of the little girls accompanies the line; her difficulty, enthusiasm are reflected on her face.

Renoir draws almost a library full of readers with his children, young, middle-aged and old lady readers. The painter focuses more on colors by emphasizing the posture bodies of the reading women take while reading.

Berthe Morisot (1841-1895) also draws her peers in the “The Artist’s sister at a window” (1869), “The mother and sister of the artist” (1869-70), “Little girl reading”, “Reading” (1873), “Reading with green umbrella” (1873) paintings.

August Macke (1841-1919) “Lesende Frau” (1876): The painter who makes his model read by the desk prefers a fauvist style in which vibrant colors and patterns are prominent.

Albert J. Moore (1841-1893) is influenced by the sculptures of Ancient Greece in his paintings. The figure in the “A reader” (1877) painting echoes the women in Pompeii frescos. The book young girl reads is a modern element. The “An open book” painting of the same painter in which a woman sitting quite comfortably in her clothes is depicted gives the impression that the painting was made with reference to the “woman like a book” expression.

Gyula Benczur (1844-1920) chooses the forest as a place of reading in his “Woman reading in a forest” (1875) painting. In Thomas Eakins’ (1844-1916) “The artist’s wife and

his setter dog” (1884-89) painting, the painter’s wife holds a book on her lap of which pages are open. The painter draws his wife with her thing body, without idealizng.

In Mary Cassatt’s (1844-1926) “Mrs. Duffee steated on a striped sofa, reading” (1876) painting, the young girl reads in her ostentatious gown. In “The pensive reader” (1894) painting, there is a pensive young reader. The painter has other reading woman-themed paintings named “Woman reading” (1878-1879), “Young girl in a blue dress” (1908), “Auguste to reading her daughter” (1910). In Cassatt’s “Nurse reading to a little girl” (1895) painting, a servant woman reads to a girl in the garden of an orphanage. The woman hugs the girl with diligence. In “The garden reading” (1898) painting of the painter, the little girl is surrounded by her mother and her twin. The painting arouses a feeling of compassion.

Reading sometimes submerges one into daydreams. In his “Day-Dreaming” (1898) painting, Conrad Kiesel (1846-1921) depicts a beautiful woman who is dreaming in the armchair she has leaned her head with the influence of the book she reads.

In Charles Sprague (1851-1914)’s “Solitude” (1889) painting, there is a young lady whose head is bent to her left shoulder and who is walking under the rain without heeding to the muddy road. The closed book is in the hand of the young lady with her finger between the pages. What she has just read calls this country resident to dreams.

In the “Sweet solitude” (1919) painting of Edmund Blair-Leighton (1853-1922) the painter of poetic paintings, a woman is depicted as reading while strolling in a garden with flowers. The painter (1852-1922) feeds off of the history of philosophy in his “Abelard and his pupil Heloise” (1882) painting. Peter Abelard is a French philosopher (1079-1142). The love philosopher feels for the smart Heloise who especially knows classical literature very

well becomes legend the painter shows Abelard trying to persuade Heloise into marriage. Heloise has a large-sized book on her lap.

In his painting named “Summer” (1893), Gunnar Berndtson (1854-1895) shows us an elder sister and her younger brother in a Scandinavian landscape (<http://www.museumsinmotion.net>). The elder sister who is reading a book on the pier controls her brother who is fishing on the small boat by taking a break. In paintings of this style, landscape take precedence over the reading activity.

Johannes Weiland (1856-1909) depicts an old woman reading the Bible without glasses in his “Reading her Bible” painting. In comparison with other old women paintings, the woman’s struggle to read in here attracts interest. Dog-eared pages also give information on how frequently the book is read. A few fruits on the table and the clothes woman is wearing are the indicators of the financial situation of the house.

Johannes Wieland (1856-1909) who draws woman figures who has leaned to her household chores with great care depicts a little girl reading her homework to her mother in his “The lesson” painting.

John Singer Sargent (1856-1925) depicts in watercolour young women lying down on the grass with their ostentatious gowns in his “Reading” (1911); “Rose Marie Ormond Reading in a Cashmere Shawl”. The time marks the “siesta” period which the painter dealt with in his other paintings.

Will Barnet (1911)’s “Woman reading” (1970s) is a serigraph in which the white cat, quilt and reader are in the foreground. The painter draws a simple picture without mixing the colors of red, blue, black and white. In the “Women reading” painting of Barnet, there are his wife Elena and a cat which has curled on the quilt. The woman reads the book

she is holding upwards. We nevertheless see her face clearly; this is an unresponsive, expressionless face. It is stated that figures in the painting have been temporarily stockpiled ([www.towntopics.com](http://www.towntopics.com)- Stuart Mitchner).

“Reading by lamplight”, “The letter”, “In the boudier”, “Portrait of Elegant Lady reading”, “Elegant lady by the fireside” paintings of Delphin Enjolras (1857-1945), known for his women figures, nudes and interiors, are very similar in terms of theme and use of light. The painter highlights the body and posture of the reading women.

The room in Hans Temple’s (1857-1931), “Der Liebesbrief-Love Letter” (1900) painting must be one of the artist rooms of a theatre or a performance hall. The young woman reads a letter sent with the bouquet. In the painting, setting is the foreground.

Jan Toroop (1858-1928) uses the pointillism technique (Pointillisme) he learnt from Georges Seurat and Paul Signac in the pink shades of his “Portrait of M. J. de Lange” (1900) painting. In the painting, a middle-aged woman reads her book with solemnity.

The young lady who rests in her armchair in William Worcester Churchill’s (1858-1926) “Leisure” (1910) painting reads a newspaper. The painter shows her figure to the audience from a side-rear position like in some other reading woman paintings.

Readings are accompanied by tea or breakfast from time to time: Edith Hayllar (1860-1948) depicts a lady who reads on the veranda to the accompaniment of tea in her “Tea in the conservatory” painting.

John Shirley Fox (1860-1939) sits a young girl on the bench of a pretty garden with her book in his “An Afternoon read” (1897) painting. The young girl communes with the landscape.

Carl Wilhelm Holsoe (1863-1935) draws young ladies while reading in their room. The readers in his “Woman in interior”, “reading in the morning light”, “interior with a woman reading”, “woman reading in an interior” paintings are a part of the decoration with their books.

Lee Lufkin Kaula (1865-1957) draws a mother who reads to her daughters in his “Mother reading with two young girl” painting.

In “The Reader” (1896) painting of Edouard Vuillard (1868-1940) who stands out with the interior visuals in his paintings, patterns are striking as well. The piece is one of the four panels he designed for the library of his friend, Dr. Vaquiz (<http://www.books.google.com.tr>). The young lady thumbs through newspapers and magazines in the painting dominated by yellow and brown hues.

In the “The house maid” (1910) painting of William McGregor Paxton (1869-1941), the young maid cannot help but look into the notebook which caught her eye while dusting.

Irish portrait painter Sir William Orpen (1878-1931) draws a young lady reading on the rocks by the sea in his “Grace reading at Howth Bay” (1900) painting. Howth is a fishing town with a view in Dublin, Ireland. The wind blows away both the young lady’s hat and skirts of her white gown. The pervading white and blue hues of the painting are comforting.

In the “Girl reading at a table” (1934) painting of the Spanish painter Pablo Picasso (1881-1973), the woman reads a book at a small table. To her right, there is a table lamp. The reading woman figure is at the center of the painting. While in the grey-dominated “Reclining woman reading” (1960) painting of the artist, there is a woman reading while reclining. Picasso has other Cubist paintings dealing with the same theme.

The woman figure in Edward Hopper's (1882-1967), "Compartment" painting is portrayed as reading a magazine with a modern hat on her head and lady's suit on during a train journey. In the "Chair car" (1965) painting of the painter, there is a woman figure reading in a chair train. Thus, vehicles of the modern world and the reading woman are brought together in paintings.

Wake Milton Avery (1885-1965) draws his daughter March in a comfortable and age-appropriate position with her casual clother in his "Adolescence" (1947) painting. There are reading women in the painter's "Reader" (1931) and "Reclining Reader" (1950) paintings as well.

Peter Samuelson (1912-1996), who usually uses pastel colors in his paintings, depictc a modern young girl while reading in "Serafina, Torquay" (1952). The young girl's wrist watch, trousers, bob haircut pouring to one side, corner sofa set reflect the modern life.

Woman-book relationship is treated in miniature size to be affixed to pendants as well: Jean Baptiste Isabey (1767-1855) "The reader" (1790).

Paintings deal with the fact that when it comes to expecially novels, women can be seduced by some examples of this genre: Antoine Wiertz (1806-1865)'s "La Liseuse des Romans" (1853) painting is a typical example of this.

### **The Reading in Turkish Painters**

Reading books is important from the perspective of Turkish culture and civilization. What is implied by book in Islamic culture is Koran, letter of Allah. By taking the "Read" command which was given to Muhammad on the Mount Hira, every Muslim who has

reached the age of wit is commanded to study Islamic and earthly sciences. Turkish painters create reading women paintings as well.

The young girl in Osman Hamdi Bey's (1842-1910), "Girl Reading the Koran" (1880) painting sits in front of a lectern in a very upright manner. The painting highlights the decorative elements of the Oriental world such as the lectern, Korani ceramic motifs, carpet pattern, covering laid on the lectern. The painter's "Two Young Girls at Tomb Visit" hosts Osman Hamdi Bey's Orientalist atmosphere with the calligraphy plaque, sarcophagus, turban, lectern, candelabra, Koran and the young girl carrying out her chanting.

In the "Goethe at Harem" (1917) painting of Caliph Abdülmecid Efendi (1868-1944), the identity of the poet young lady reads is declared. The painting exhibited in Vienna in 1918 portrays a moment of taking a breath during reading. The young woman looks at her audience in a very comfortable position with the book in her hand, dainty clothes and unhappy face.

The young woman in Hüseyin Avni Lifij's (1889-1927) "Woman Reading a Book" painting reads by cutting off all her connection with her surroundings. The woman has been able to establish a strong bond with her book.

Müfide Kadri's (1890-1912) "Reading Woman" is one of those who prefer to read by lying down on the sofa. The woman's white gown rests the eyes which tires from the colored upholstery in the painting. The young lady is focused on what she is reading in a comfortably placed and integrated with her book style.

In Nuri İyem's (1905-2005) blue-white dominated "The Letter" painting, there is a young woman nestling a letter and wearing a head scarf. The pain of separation, rather than the joy of the letter, pervades the painting.

Cemal Tollu's (1899-1968) "Peasants Reading the Alphabet" (1933) painting depicts the gathering of three young girls who pasture sheep around a one-page text.

Zeki Faik İzer (1905-1988) depicts a modern young woman in yellow-brown hues from the lateral front while reading a large-sized book in his "Woman Reading a Book" painting.

In Şeref Akdik's (1899-1972) "National School" painting (1930), the folk women who is learning to read and write from the female teacher are depicted as facing away from the audience. Akdik also creates paintings named as "Girl Reading a Book", "Girl Sitting on the Sofa" (1960).

The alphabet reform in 1928, women learning the new alphabet, and in later years women who had not had an organized education learning how to read and write constitute an important aspect of the reading woman image in Turkish painting.

### **Conclusion**

Woman-written text relationship is quite a rich theme drawing interest from almost all painting movements in every nation. In our article, we discussed some examples selected coincidentally. There are hundreds of paintings which depict women from different age groups and mostly young women reading mainly in solemnity in different environments, different clothes and with different faces. Besides presenting an attractive; aesthetic appearance, a woman reading means her making a cultural investment toward her children as well.

In the female figures of the reading woman paintings, a change is seen from women with religious identities to women of wealthy families.

In the female figures of these paintings, age range is wide. There are reader ladies from almost all age groups starting from little girls who is learning to read and school-age girls; teenage girls; young; middle-aged and old women. Young women are high in number. While in some paintings ladies are idealized physiologically, they are rarely presented in their natural state. In some paintings, young girls and women are brought forward with their charms.

In outdoors, women are depicted in places connected to their houses such as terraces, balconies; on hammocks, in gardens, parks, forests; and places nested in nature such as the seaside. Books in the hands of women are also encountered while sitting down on the grass under trees and an umbrella or transition to siesta, at a train station. Indoors, houses predominate reading spaces. In the majority of indoor paintings, women are sat facing sideways to the audience. Sometimes, women are lost among the ceremonial elements such as wallpaper patterns, upholstery in the settings.

In reading woman paintings, figures are mostly in a sitting position. Different reading demeanors of women from more comfortably sitting women to those reading lying down on the sofa, in their beds and even those dozing off on the book are depicted as well.

It is possible to identify the use of time from the name of the paintings. The parts of the day such morning, noon and evening are emphasized. Women carry out the reading activity under natural or artificial lighting such as candles, kerosene lamps, electricity.

Women with religious identities such as Madonna, saints, nuns are present in paintings. Women of court, noblewomen follow them. There are paintings which depict

maids as carrying out the reading activity as well. Careerist women such as teachers, caretakers at orphanages are also depicted while reading in their work environments.

Reading materials can be the Bible, Koran, prayer books, novels, sonnets, letters, music books, newspapers and magazines, train timetables, notes sent with flowers. Ladies are occasionally seen with rolls of the Ancient World in their hands as well. While in some paintings book sizes are small, in some paintings the magnitude of the book sizes stands out.

The expressions on the faces of the reading women are naturally different. While many faces are dominated by the feelings of solemnity, dignity, unresponsiveness, innocence in some faces and peace in other become prominent. Melancholy, pessimism are present in some faces. Even though their numbers are low, witty smiles are evident in some faces. The feelings of fear, anxiety, curiosity are seen on faces as well. Based upon the importance they attach to the subject and their own intellect, painters may establish a strong bond between the readers and their materials. There are paintings in which eye contact with the material being read exists; a break from reading has been taken; the object being read has been dropped to the ground.

The woman-book relationship is treated in accordance with movements such as Realism, Impressionism and occasionally Poinsettism, Cubism, Neo-Realism, Fauvism.

Women from religious, historical, literary, mythological, social life; from painter's inner circle such as wives, mothers, sisters, sister-in-laws; and occasionally famous women of the period are conveyed to paintings. An increase occurs in the number of reading woman paintings in the XIXth century.

The female readers in paintings read the Bible, prayer books, letters, novels, poems, musical notes and occasionally magazines and newspapers. The depiction of women reading the Bible decreases in time. Modernization changes the reading material women hold in their hands as well. With the coming into play of periodicals, painters also slip magazines and newspapers to the hands of female figures. In the paintings of some painters, and especially Cotort, there are melancholic expressions. The seduction of women by the texts they are reading is also depicted. The book is also an indicator of the woman's status.

The possibility that the "Reading Woman" figure can serve as a model for modern women in terms of "being a woman who acquired her rights" is emphasized (<http://www.readingwoman.org>). The old woman during reading falls from favour in recent centuries. Book is depicted as an object which increases the grace of the female figure in some paintings with how it is held and the pose it gives to the woman. While in some paintings, the painter places the book with its reader to the center of the painting.

In paintings, the eyes of the female figures are depicted as sometimes being on the pages of the book and sometimes being focused on other points. There are also scenes in paintings where the reading is left unfinished and the plunge into a fantasy or dream world occurs.

Reading woman paintings also present periodical information such as on the religious, social life; places, accessories, clothes, furniture.

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**THE PRACTICE OF RECONCILIATION IN TURKISH TAX LAW  
SETTLEMENT AND ADMINISTRATIVE DISCRETION**

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**Abstract**

The institution of tax compromise is one of the improved administrative solutions to solve tax disputes. In tax procedure code, it issued in two parts as “compromise before the imposition” and “compromise after the imposition”. After 2011, settlement solutions lead to apply for custom controversies too. Settlement is an administrative solution mechanism and for this reason, area of usage has to be defined for concept of “administrative discretion” which is implementing in administrative process and activities. Purpose of this study is explained of usage area of administrative discretion and evaluate of current situation concern in state of law principles.

*Keywords:* tax compromise, conflict of tax, administrative discretion, tax procedure code, constitution

## **THE PRACTICE OF RECONCILIATION IN TURKISH TAX LAW SETTLEMENT AND ADMINISTRATIVE DISCRETION**

The practice of reconciliation is a mode of settlement of the disputes between the revenue administration and tax payers without resorting to judicial mechanisms by reducing amount of fine or tax (Bilici, 2012: 115). The practice of reconciliation was introduced by the amendments to the law no 205 and the tax procedure law; and it has been in force for five decades and applied to the taxes covered by the tax procedure law. The reconciliation before issuance and imposition was defined and implemented by the law no 3239 adopted on 1.1.1986 (Karadağ and Organ, 2014: 373). In principle, the practice of reconciliation was applicable to the taxes covered in the tax procedure law; but by the amendment to article 244 of the customs law in 2011, reconciliation was also introduced for the customs levies and a customs reconciliation directive was adopted (Kırbaş, 2012: 194).

Since its introduction, the practice of reconciliation has remained controversial; a number of different views have been raised and expressed on its functionality, the mode of power employed, its compatibility with the legislation as well as positive and negative aspects. This study divides the practice of reconciliation into two parts: before and after imposition and further discusses its consequences and outcomes. The issue of power, important in terms of the administrative transactions and actions, can be analyzed within a distinction between discretion and authority. This study pays attention to the discretionary power because of its relevance to tax issues. The study further discusses how the practice of discretionary power is employed in the practice of reconciliation. The final part of the

study deals with the importance and use of the practice of reconciliation with reference to the discretionary power and general principles of the rule of law.

### **Conciliation Before Assessment**

Article 11 of the taxation procedure law suggests on the conciliation before assessment that the finance minister may allow for conciliation before assessment in respect to the fines based on tax inspection. Therefore, to make the dispute subject to conciliation before assessment, the practice should be based on a tax inspection of the taxpayers. Conciliation before assessment appears to be an administrative method before assessment of the taxpayers' tax payment. This is particularly important in terms of methodology (Kızılot and Taş, 2011: 158).

This article suggests that the taxes to be assessed, the fines issued on the assessment as well as fines of irregularities are included in the conciliation before assessment. However, as in the conciliation after assessment, in case the loss of tax is caused by acts listed in article 359 of the law, the fines are excluded from process of conciliation. It should be therefore noted that the fine issued because of evasion cannot be exempted by conciliation in both before and after assessment. The main idea here is that it is not proper for the state to reconcile with the tax evader because of the need to comply with general rules and principles.

### **Conciliation after assessment**

Conciliation after assessment includes taxes assessed by the administration, the fine attributed to the taxes (with the exception of the taxes and fines assessed in case of acts listed in article 359 of the tax procedure law). To employ the conciliation option, the loss of tax should be associated with inability to apprehend the provisions of the relevant legislation, or caused by the misinterpretations underlined in article 369 of the law on taxation, attributed

to the tax errors referred to in articles 116, 117 and 118 and there should be difference between judicial decision and the stance of the political administration on the same dispute.

### **Outcomes of the Practice of Conciliation Before and After Assessment**

As noted above, in terms of scope, both before and after assessment conciliations are considered as general administrative dispute settlement methods. In terms of fines, conciliation before assessment is of general character whereas the conciliation after assessment is of a special administrative dispute settlement method involving the fine of tax loss (Kaplan, 2013: 139). In terms of outcomes, we may evaluate the conciliation after and before assessment in three categories: non-payment, non-issuance and issuance. In terms of conciliation before and after assessment, in cases where the taxpayer fails to honor invitation by the conciliation commission, to sign the conciliation document, conciliation is deemed unattained. In case where the commission offer is not taken in due time, conciliation is considered nonexistent. On the other hand, in case where the parties reach an agreement on the amount of the fines, conciliation is considered attained. All these three different cases yield different results in terms of conciliation. These outcomes may be evaluated as follows:

#### In terms of conciliation after assessment:

In case a conciliation is attained, payment is made in regular dates if the conciliation document and due amount is referred to the taxpayer before the due date; and it is made within a month if the taxpayer was informed about the payment after the due date.

Interest is applied to the amount of tax agreed by the parties since the regular date indicated in the tax laws up to the date when the document is signed. (Article 112). In case of conciliation, the taxpayer is not able to file a lawsuit in respect to the issues agreed in

the document. For this reason, the taxpayer who asked for a conciliation in due process may rely on legal options in case where there is no conciliation for the fine he/she looks for conciliation. In this case, the time he has for filing a lawsuit is extended by 15 days after he is notified of the decision. On the other hand, in case the lawsuit has been filed before motion for conciliation by the taxpayer, it will not be handled in taxation courts before conclusion of the motion. If handled for any reason, it will be deemed void and null. In case of failure to attain a conciliation, the legal process will resume upon notification by tax office.

In respect to the fines and tax upon which a conciliation has been attained, the relevant provisions of article 376 are not enforced. However, in case the subject declares withdrawal from conciliation request until the signing of the conciliation document, the taxpayer will remain eligible to provisions of article 376. In case of failure to attain a conciliation, no further request for a conciliation can be raised. In case the taxpayer agrees to pay the agreed amount of fine until the expiry of the time for filing a lawsuit in writing, a conciliation is attained. In case of lack of a conciliation, payment is made under articles 112 and 368 of the law. In other words, the amount of tax and the time for calculation of the interest depends on whether or not a lawsuit has been filed with a taxation court.

**In terms of conciliation before assessment:**

In case of conciliation before assessment, no lawsuit can be filed on this if it is recorded in written form. Interest is accrued under article 112 to the agreed amount of tax. In case of failure to attain a negotiation framework or conciliation before assessment, the taxpayers are unable to demand for a conciliation after the assessment or issuance of the

fine. In this case, the right of the taxpayer to demand for a conciliation becomes nonexistent; but his right to file a lawsuit remains (Bilici, 2012: 118).

### **Notion of discretion and its use in tax law**

There are two major terms and practices in terms of administrative acts and transactions: non-discretionary power and judiciary discretion. These two terms are also relevant to the taxation law as well. For this reason, this section focuses on the two notions and then pays attention to the use of these notions in the practice of conciliation.

#### **Non-discretionary and discretionary powers**

The administrative discretion should be assessed as non-discretionary power and discretionary power. In the first option, the scope of the administration, the methods and procedures are previously identified by a legal rule; in this option, the administration has no option or leniency in its decisions (Üstün, 2007: 16). In the discretionary power option, the administration has option to make a preference. However, by virtue of the supremacy of law and principles of lawfulness in administration, the discretionary powers need to be employed within the legal boundaries (Sancakdar, 2014: 380).

Whether or not administration has discretion and its scope determines the practice of the discretion. Legal rules identify the boundaries of the discretion of the administration (Gerçek, 2006: 14). From this perspective, discretion does not mean arbitrary decision and is identified by legal boundaries. The administration needs to act on certain principles and rules; judicial inspection and control in this respect draws an important line here (Sancakdar, 2014: 381).

Restriction of the judicial bodies by legal rules is underlined in the constitution and administrative prosecution law. Article 125 of the constitution clearly states, “Judicial power is limited to the review of the legality of administrative actions and acts, and in no case may it be used as a review of expediency. No judicial ruling shall be passed which restricts the exercise of the executive function in accordance with the forms and principles prescribed by law, which has the quality of an administrative action and act, or which removes discretionary powers.” This ground rule is established to honor the cardinal rule of separation of Powers. The same rule is further confirmed under article 2 of the administrative prosecution procedure law suggesting that the administrative prosecution power is limited to the controlling the legality of the administrative acts and transactions.

#### **Use of discretionary powers in taxation law**

Discretion is a frequently used practice in the administrative law; but it is rarely relied upon in taxation law because of the legality principle in taxation as specified in the constitution. This indicates that introduction, change or abolishment of a tax is only possible through laws. To talk about a taxation law, that law should include principal elements (subject, payer, source, tariff and rate, exemption, declaration and times of payment). Otherwise, it will not be possible to speak of a genuine taxation law. What matters in taxation law is the introduction of taxation laws, their change and abolishment by the legislative body. The only exemption is discretion recognized by the constitution to the committee of ministers to make changes in exemption, exception, rate and reduction within minimum and maximum limits. It should be noted that the discretion recognized to the committee of ministers is limited to changes within certain boundaries. Thus, another body is not allowed to rely on this discretion. A law may openly state that the administration

is recognized some level of discretion. In addition, some statements or references indicating that the administration may be recognized to take action can also be taken as reference to discretion (Gerçek, 2006: 32).

### **Identifying scope of discretion in conciliation process**

The law on taxation procedure does not include any specific practice on the discretion of the administration applicable to the content of the talks of conciliation, the conditions and the amount; this raises a question as to whether the law is ambiguous on this matter (Başaran, 2010: 167).

In respect to conciliation before assessment, the law states that the finance ministry may allow for conciliation before assessment in the fines and taxes to be assessed based on a tax inspection. In respect to conciliation after assessment, the same law states that it is possible to have a conciliation with the taxpayers by reference to the provisions in that section on the taxes assessed by the administration before and on the amount of the fines to be issued based on this assessment.

These provisions suggest that the scopes of before and after assessment conciliations are different; however, both are mainly concerned about taxes and administrative fines (Karadağ and Organ, 2014: 373). A plain reading of the law reveals that the finance ministry and the administration have full discretion on a conciliation about the tax and fine (Başaran, 2010: 169). However, it should be noted that whether or not this refers to a discretionary power remains disputable.

A review of the provisions reveals that the scope of the discretion is limited to taxes and fines. On the other hand, there is no provision on the amount of reduction in the fines or taxes. This means that different reduction rates may be observed in different instances

of conciliation; and the outcomes of the commission works on conciliations may also be different. In this case, the conciliation practice as underlined in the law can be seen as a unique authority without upper and lower limits recognized to the finance ministry and the administration. In addition, even such limits had been identified, the legislative body, not the executive body, is responsible and empowered in the suspension of the taxes and fines.

Constitution states that amount of taxes and fines are identified by law alone. Both introduction and abolishment of the taxes can be made through law. The principal reason for requirement of a law in the taxation process is because it is relevant to fundamental rights and freedoms. This principle is invented to avoid arbitrary practices and decisions (Üstün, 2007: 51). On the other hand, article 38 of the constitution also notes that both crimes and punishments need to be prescribed in the law; for this reason, crimes and punishments ascribed to taxation frauds and offenses can be enforced under a relevant law. But the constitution makes an exception in the field of taxation; under this exception, the committee of ministers is allowed to introduce changes within the specified limits by the law on exceptions, exemptions and reductions in tax rates and amount of fines. The cabinet cannot transfer this power to another body; and it is also not possible to delegate this power by law to another institution. Use of this power by another state organ is in violation of the constitution (Üstün, 2007: 62). However, the taxation procedure law recognizes a power to the finance ministry and the administration in lifting or substantially reducing the fine. This power, not recognized to the committee of minister, is attributed to the commission of conciliation holding the power of representing the administration (Yılmaz, 2009: 338-339). As such, the practice of conciliation is in violation of the supremacy of constitution and other major principles of the constitution. Thus, the practices and decisions of the finance

ministry and the administration in this matter go beyond the limits of the discretionary power.

It is possible to observe that the practice of conciliation takes a unique character in terms of implementation; in this sense, it goes beyond the non-discretionary or discretionary power practices. The commissions of conciliation, rather than reviewing the reports in details and offering a framework of conciliation with the taxpayer, rely on a unilateral process through which a template involving the terms of negotiation and conciliation is offered to the subjects. On the other hand, the text of the agreement or conciliation between the administration and the taxpayer does not include any explanation or justification for the other (Erol, 2011: 184). The relevant statistics on the conciliation talks may shed light on this matter. For instance, in 2013, 15.71 pct reduction was adopted at the conciliation before assessment commission, 24.43 pct in the conciliation after assessment, 39.69 pct in the coordination conciliation commission; however, the rate of the reduction in the central conciliation commission was 87.01 pct. In respect to fines, the rate of the reduction at the conciliation before assessment was 93.94 pct; it was 94.13 pct in the conciliation after assessment; it was 99 in the central conciliation commission and 96.92 pct in the coordination conciliation commission. These figures reveal that the practice of conciliation is now working to omit almost the entire fine and to reduce the original amount of tax (Adibeş and Akkurt, 2014: 65).

Another interesting point in the implementation of the practice of conciliation is that in general, even corporate and established firms with advanced accounting and training systems and unit rely on the pretext that they are unable to properly apprehend the provisions of the laws in their request for a conciliation. More interestingly, this pretext is

often honored by the conciliation commission without any further interrogation (Erol, 2011: 182).

It should also be noted that the practice of conciliation is functioning to undermine the performance and motivation of the tax inspectors because the commissions of the conciliation may ignore the findings and suggestions of the inspection reports; and this works against the genuine efforts to strike a balance between economic necessity and load of the taxpayers (Adibeş and Akkurt, 2014: 58). A review of the conciliation before and after assessment in terms of the scope of the conciliation reveals that inclusion of the specific and general irregularity fines in the scope of the conciliation before the assessment will make the conciliation before assessment more attractive to the taxpayer; this may lead to rapid settlement of the disputes; but this fails to explain why these fines are not included in the scope of the conciliation after assessment; as it stands, it goes against the major principle of equality (Erdem, 2007: 123).

### **Conclusion**

Conciliation is designed as conciliation before and after assessment in the taxation law. Since 2011, this practice has been also included in the customs-related disputes by amendment to the customs law.

The outcomes and results of the conciliation process and practice reveals that it is used as a dispute settlement method in taxation law; it is also seen that conciliation is used as alternative method to the judicial methods. For instance, the taxpayers are not allowed to benefit from reduction from fines when they benefit from conciliation. In other words, only one of the advantages can be used in this option. In case conciliation is attained, it is

not possible to resort to a judicial method. Lawsuit can be filed only if a conciliation is not attained.

The administration is bound to comply with the practice of non-discretionary powers as underlined in the laws; however, there are also a few exceptions in the field of taxation law where the administration can rely on discretionary powers as well. The legal rules applicable to the discretionary powers determine the limits of the administration and do not refer to arbitrary action by the state. In other words, there are legal limits to the discretionary powers. These limits are based on the principle of separation of powers, the supremacy of the constitution and rule by laws. On the other hand, the principle of legality specified in the constitution in the field of taxation law narrowed the use of the discretion by the administration and made it an exception. It is thus necessary to practice the conciliation option in the field of taxation law in Turkish legal system within the boundaries drawn by the democratic principles and the legality principle in the taxation process. However, given that there is no certain limit (upper or lower) in the laws for the administration in use of the discretion recognized under the legislations, it could be said that the discretion in this field is of a unique character. The legislative body is authorized in abolishing the tax fines. Thus it should be noted that the practice of conciliation in the Turkish legal system fails to meet the requirements of the democratic principles and the principle of supremacy of law.

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## **TAX AMNESTIES: EXPERIENCES FROM TURKEY**

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### **Abstract**

Tax amnesties are implemented not only in developed countries but also in developing countries. In the short term, tax amnesties have some advantages which are to generate revenue for the government to increase tax revenues, lighten the burden of the tax administration and the judiciary. On the other hand, in the long term, tax amnesties have some harmful results which are to diminish the compliance of tax payers, they also refuse to pay taxes on time. In Turkey honest taxpayers punished by the tax amnesty implications have been employed quite frequently due to both fiscal and political reasons. This study targets to supply information concern in tax amnesties experinces from Turkey.

*Keywords:* tax amnesty, tax evasion, tax compliance, taxation, Turkey.

## **TAX AMNESTIES: EXPERIENCES FROM TURKEY**

Governments can apply a large activity in order to stop tax evasion, to save uncollected past tax payments and to diminish the size of shadow economy as much as possible. This wide practice is named as “tax amnesty”. Tax amnesties are government programs to let citizens willingly to pay for their past evaded taxes in a time period without a punishment. Amnesties can be permanent or temporary, but usually temporary.

In other words, tax amnesty is a legal rule or act issued by the government to forgive tax debts of previous years to taxpayers. By means of this measure the government supplies an advantage to taxpayers by letting them to correct mistakes or omissions in tax returns without fear of legal acts. This means that, the Government sacrifices the financial penalties for past non-compliance (and often the tax owing itself) in exchange for improved compliance in the future. The amnesty is most of the time established for a limited time period (Fjeldstad, 2014).

In the past, governments around the world applied amnesty programs to increase their current revenues. However amnesties are not the only way to gain revenue, amnesties are applied due to political reasons since the other revenue raising alternatives such as increasing tax rates can result in reduced chance of re-election (Luitel and Sobel, 2005). And so amnesties seem easier than the other alternative policy ways for politicians. Because amnesties programs give their social benefit in a short term like a time period between two electoral period and not reduce chance of re-election.

Tax amnesties are implemented not only in developed countries but also in developing countries. In the short term, tax amnesties have some advantages which are to generate revenue for the government to increase tax revenues, alleviates the burden of the tax administration and the judiciary. On the other hand, in the long term, tax amnesties have some harmful results which are to diminish the compliance of tax payers, they also refuse to pay taxes on time. At the end honest taxpayers punished by the amnesty implications (Edizdogan, 2013).

### **Potential Benefits of Tax Amnesties**

A tax amnesties can support absorb money from shadow economy. In this manner, governments raise short-term revenue and at the same time, tax base gets larger and future tax collections have the opportunity to increase. On the other hand, administration costs and bureaucratic paper work can be reduced (Alm, McKee and Beck, 1990). Furthermore in a complex and ineffective tax system, huge numbers of tax cases are occupying courts and are slowing the justice and bureaucracy mechanism. Courts overcome a intensive workload by an amnesty program. On the other side some evaders to path of honesty by this amnesty program. This is especially important where true income detection is so hard as developing countries and tax code is complicated because some honest taxpayers may evade taxes unaware because of complicated tax system (Leonard and Zechhauser, 1986). In fact such persons want to correct their past activities but they are normlly afraid of punishments and prosecution processes. When they have opportunity to use of amnesty, they try to become honest citizens. So, future tax compliance meaning the degree of obeying tax code in declarations increases (Torgler and Schaltegger, 2005). Eventually, an amnesty migh support to transition to a better tax regime and indicates that tax evasion is being thought about by government.

For all of thatt positive effect of the amnesties, application must be synchronized with strict enforcements that start to increase in institutional quality. Although there is not guarantee for success, negative effect on compliance may be reduced with these measures. As a result, with or without tax amnesty, awareness has always been an issue that must be taken into account for long term economic concerns since it may prevent governments to apply amnesties all by itself if it is managed properly. Firstly, tax awareness should be increased by promotions and enforcements of the government. Secondly, tax morale

implications need to be taken into consideration when an amnesty is applied. Amnesty should be in a form that cannot offend honest taxpayers and increase the institutional quality. If compliance-enhancing impacts cannot master the compliance reducing effects, it may be foreseen that the amnesty is destined to fail (Kara, 2014).

### **Potential Costs of Tax Amnesties**

In spite of possible advantages, tax amnesties have disadvantages either. Before anything else, release of a new amnesty program gives information to public concern in existence of tax evasion reality (Alm and Beck, 1993). And compliant taxpayers may perceive amnesties as a rewarding system towards tax evaders while as a penalty mechanism towards themselves because return of assets which undisclosed and evaded is higher than disclosed ones. Moreover, if amnesties are accepted as a “forgiving device” for tax evaders and that tax evasion is forgivable, then honest taxpayers can diminish their compliance in the long term and this attitude consults in conflicted financial results.

An experimental study found out tax amnesty decreases tax compliance significantly.<sup>288</sup> First of all, if taxpayers feel amnesty will be repeated periodically in the future, tax compliance diminish further. So, when establishing an amnesty program, the governments must keep their decisiveness and make public believe it is one time chance, or else public going to wait for future amnesties causing diminish in tax compliance.

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<sup>288</sup> In the same study, they classified taxpayers into three classes as high compliant, moderate compliant and low compliant according to their compliance rate and they saw that an amnesty did not affect compliance rate of high and low compliant ones but compliance of moderates fall significantly (Alm, McKee and Beck, 1990).

Secondly, tax amnesties create small amount of revenues. In the world, few amnesty programs are successful in creating revenue. Empirical studies shows that governments can't create important amount of money by their amnesty programs (Laborda and Rodrigo, 2003, Alm and Beck, 1993). Other study indicates that gaining additional net revenue from tax amnesty is impossible (Franzoi, 1998). This is evidenced by a survey stating that revenues not only remained unimproved, but also display decreasing behavior in long run for some cities in Turkey (İpek, Öksüz and Özkaya 2012). In a similar manner, a study conducted in United States, including 76 amnesties within 23 years in different US states. The result is that amnesty can increase revenue a little however can decrease tax compliance, tax morale meaningfully and trigger long-run financial difficulties, which are hard to repair (Luitel and Sobel, 2005).

Tax amnesties are in particular attractive to politicians who usually view an “amnesty as a way to create a new revenue owed to the government which would ever have been created without the amnesty”. But, international experiences shows that tax amnesties are rarely accomplished. The collection of taxes from past evaders is probably to be low, and the expectation of future amnesties can causes those who previously complied to evade. If an amnesty cause to larger tax evasion, pressure can arise for further subsequent amnesties. This may cause to a neverending circle where more and more large coverage and often amnesties are given. Amnesties could consequently show weakness behind the pretended tough opinion of a government against future tax evasion and may permanently endanger its taxing content by diminishing the general taxpayers' willingness to pay (Fjeldstad, 2014).

Honest taxpayers can understand amnesties as a rewarding system towards tax evaders while as a penalty mechanism towards themselves and this inequality can consequence in diminish in compliance (Savaşan, 2006). Besides repeating amnesty periodically is false practice since it becomes to be anticipated easily. Indian experinces shows that if taxpayers anticipate amnesty, opposite effects on tax compliance happen. So anticipation diminishes tax compliance and, finally, tax revenue in the long run (Das-Gupta and Mookherjee: 1995). In addition, increasing number of the repetition implies narrower revenue gains in the short run while larger revenue losses in the long run. In conclusion, reepad of amnesties is unreasonable because of their anticipation and tax morale impacts and negative long-run effects.

Table I: Advantages and Disadvantages of Tax Amnesty Enforcement Package

Major potential advantages	Likely importance of actual effects
<ul style="list-style-type: none"> <li>• Collects back taxes</li> <li>• Increases future compliance by lowering its cost (no longer necessary to evade to hide past bad behavior)</li> <li>• Improves records, e.g., adding nonfilers, which enhances future control of evasion</li> <li>• Reduces deadweight costs from burden of guilt; fosters repentance</li> <li>• Permits politically feasible transition to harsher enforcement regime                             <ul style="list-style-type: none"> <li>▪ Lowers short-term penalties, raises long-term; such twisting can raise or lower on net,</li> <li>▪ Avoids "inequity" from sudden change,</li> <li>▪ Permits imposition of severe penalties on those who refuse amnesty offer,</li> </ul> </li> </ul>	<p>Important</p> <p>Important</p> <p>Important</p> <p>Potentially important, but not a salient political argument</p> <p>Very important</p> <p>Important in forging political compromise between soft hearts and disciplinarians</p> <p>Limited importance given lack of political constituency</p> <p>supporting tax evasion Important</p> <p>Very important</p>

<ul style="list-style-type: none"> <li>▪ Permits productive and vigorous enforcement against future evasion</li> <li>• Angers honest taxpayers</li> <li>• Undermines guilt from tax evasion</li> <li>• Reduces fear of future sanctions that may be amnestied</li> </ul>	<p>Important</p> <p>Does not apply if amnesty is combined with substantial strengthening of enforcement, harsher penalties, etc.</p> <p>Only relevant if managed poorly</p>
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Source: Leonard, H.B. ve Richard, J.Z. (1987).

### **Tax Amnesty Experiences in Turkey**

Tax amnesties have been applied in both developed and developing countries and also in OECD countries and in more than half of the United States in the past. Some countries consider of tax amnesties as a means of increasing revenue which will strengthens tax compliance and meet the growing budget deficits. Some other countries don't believe of using tax amnesties due to its opposite impacts on equality and fair tax burden. These academic views had been explained by many economist/scientists.

Same as all countries tax amnesties have been regularly applied in Turkey, however differently an amnesty has been applied every one and a half year for the last fifty five years. This history of amnesties in Turkey makes one think that amnesties are the consequences of structural issues in the countries economy, especially in the tax system (Savasan, 2006: 167). This history of amnesties in Turkey makes one think that amnesties are the consequences of structural issues in the Turkish economy, especially in the tax system.

Since 1923, thirty amnesties applied in Turkey. Amnesties are declared with a variety of tax laws and have become a routine, which began in 1930s but are applied very frequently since 1960s. The Turkish government applied tax amnesties for 14 times since 1980. Some amnesties had common forms as only cancellation of penalties while some others were general amnesties or included only specific taxes' penalties and some others also included even tax principals. Every form of amnesty is practiced in Turkey from the beginning. Table 1 shows general information of amnesties in Turkey since 1980 (Kara, 2014).

Table II: Tax Amnesties in Turkey after 1960

<b>Year</b>	<b>Number of Law</b>	<b>Content</b>	<b>Payment Schedule</b>
1961	281	Penalties, late fees and overdue interests are cancelled	Until the end of 1961
1963	218	All tax penalties of tax payers	N.A.
1963	252	1963 252 All tax principals and penalties of Sports Clubs -	-
1963	325	All taxes accrued of government business enterprises after 1960	-

1965	691	All tax principals and related penalties, late fees of municipals and enterprises owned by municipals	-
1966	780	Tax penalties and late fees	-
1974	1803	Tax penalties and late fees accumulated until 1974, charges and duties, cadastre charges	In 8 months
1981	2431	Penalties related to taxes, charges and duties, black asset declaration	Until 31.08.1981
1983	2801	Penalties related to taxes, charges and duties and update of wealth declarations	Until the end of 1984

1985	3239	Tax penalties and late fees	Until the end of 1985
1988	3505	Tax penalties, late fees and overdue interests	Until the end of 1988
1988	3512	Tax penalties, late fees and overdue interests of municipals	Until 30.06.1989
1989	3571	Tax penalties, late fees of associations and foundation and enterprises owned by them	24 installments in 24 months
1990	3689	Tax penalties, late fees and overdue interests	2 installments until 31.01.1991
1992	3787	Penalties and late fees related to taxes, charges and duties	Until October of 1992
1997	400	Restructuring or delay of penalties	N.A.
1998	4369	-	-

2001	414	Restructuring or delay of all payable tax principals or penalties and late fees	-
2002	4751	Tax principals and penalties of real estate taxes	Until May of 2002
2003	4811	Taxes, charges, duties and related penalties, late fees and overdue interests, update of declarations	Until October of 2004
2008	5811	Black asset declaration, cancellation of tax principals before 2008 for unregistered assets	In a month after declaration
2011	6111	Restructuring tax principals, penalties,	18 equal installments in 36 months

		late fees and overdue interests	
2015	6552	Restructuring tax principals, penalties, late fees and overdue interests	18 equal installments in 36 months

Source: Yurdakul, 2013.

Amnesties in Turkey are at an extremely sequence. Time periods as 1 to 5 years. Narrow time periods can decrease effectiveness in a dramatic manner, in contrast, there are even amnesties which are conducted each year in Turkey. So, amnesties in Turkey can be seems like anticipated and periodical and continual implementation. Turkish taxpayers are aware that everytime is not the last implementation, even though the government tries to create totally adverse awareness (Taşkın, 2006). Also tax laws are becoming far from being regulatory but closer to being incentive to evasion (Oral and Sayın, 2009).

It may be clearly deduced that, taxpayers easily anticipate amnesties in Turkey and it is difficult to fulfill their aims unless they are accompanied by strict enforcements and other success parameters are met. When other success parameters are investigated, it becomes more evident why amnesties in Turkey were no help at fulfillment of their purposes. Also tax audit system is not enough quantitatively therefore it does not frighten taxpayers (Aktürk, 2005). Tax audits in Turkey are only conducted after occurrence of some mistakes and incorrect results of internalized tax system (Acar and Merter, 2008). It is seen that tax rates are reduced after 1985, 1997 and 1998 amnesties, whereas, reduction of tax rate remains distant from being an effective enforcement since tax burden did not

decline in neither of those amnesties afterwards, where tax burden is measured by total tax revenue as a percentage of GDP (Kara, 2014).

In Turkey, taxpayers are not aware that tax is an obligation for the prosperity of their country. So it seems that one of the reasons of frequent amnesty implications in Turkey is not constituting a healthy tax culture (Oral and Sayın 2009). Not only tax culture but also tax morale is also low in Turkey among aware taxpayers since tax policy of the government is not accepted as efficient and there is a perception of low institutional class. Lost revenue because to evaders are tried to be collected from honest taxpayers, which leads to unequal tax burden. Honest payers feelin inequality concern in high frequency of amnesties. There is no strong tax administration in Turkey so legal enforcements and punishments not applied properly. Taxpayers afraid of complex tax system and complicated tax law system diminishing tax compliance, on the other hand this requires a frequent tax amnesties as well. There is a belief as government using public expenditures is not efficiently. High tax rates and high inflation rates, low income forcing taxpayers to illegal ways as tax evade. Finally, these weak chains in national tax system starts to low morale and diminish the compliance among taxpayers. The studies concludes that long-term revenue implications of amnesty should be cautiously examined due to lowering compliance while revenue escalation occurs in the short term (Savaşan, 2006, Saraçoğlu and Çaşkurly, 2011, Sayın and Oral, 2009, Bağdigen and Beşkaya 2005, İpek, Öksüz and Özkaya 2012). As a result, it is concluded that tax amnesties don't increase tax revenues as expected in the long term in Turkey (Kargı, 2011).

### **Conclusion**

While amnesty policy has advantages and disadvantages, it has been used in the past and it will probably be used in the next. So tax authorities look for ways to make tax amnesties efficient. According to the theory, amnesty itself lacks properties in fulfillment of its purposes. Achievement of these purposes not only depends on amnesty content, but also cautions of the government that are taken after amnesty period which are; effective inspections, increased penalties, true enforcements, extent of the amnesty, increase in tax awareness and tax morale and nonrecurrence of amnesties. Studies in reference to tax amnesties suggest that effective amnesty raise important revenue if it is supported with previously advertised increase in legal enforcements. So common relationship between amnesty and enforcements let redesign of amnesties while the chance of success rises concerning amnesty implications (Kara, 2014).

Tax amnesties have been regularly applied in Turkey since 1923. Actually an amnesty has been enacted every one and a half year for the last fifty five years. Lost revenue because of evaders are tried to be collected from honest taxpayers, which leads to unequal tax burden. And this is disturbing honest taxpayers, they are feeling inequality concern in high frequency of amnesties. Also tax law punishments and tax administrative functions are weak to apply an effective enforcement. Complicated tax procedures pushes taxpayers to evade.

Today, in Turkey, amnesties influences tax compliance negatively. Turkish taxpayers are aware that everytime is not the last implementation, even though the government tries to create totally adverse awareness. Amnesty implementation is not efficient unless some other success indicators as tax awareness and compliance, detection probability, penalty

rates, recurrence and other enforcements are optimally designed by authorities. In Turkey, none of these indicators are used effectively.

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**Women's Views about Gender Equality on the Current Social Policy in Turkey**

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### **Abstract**

Women's equal participation in all aspects of social, political and economic life is an essential requirement for sustainable development and democratic governance. How to engage women in these different spheres of policy, increase their access to information and ensure their participation in policy debates are therefore among the key questions policymakers and scholars are actively seeking to answer. This study aims to contribute to this growing scholarship by examining Turkish women's views on gender equality at large, and current social policies targeting women in particular. The study examines a sample of 1218 women's views from a central province, Çankaya, in the capital city of Ankara. Of those in the sample, 41% work full time outside the home. Of the remaining group, 24% cites childcare, 19.5% cites spousal objections, and 15.5% cites housekeeping for reasons that keep them from seeking and keeping full time jobs. Among one of its interesting findings, the study shows a significant lack of women's civic engagement and/or interest in volunteer activities in organizations that take on gendered issues. A miserly 3.2% of the women interviewed report having participated in any civil society organizations that work on women's issues. A further statistical analysis of participating women's views highlight a clear age and education divide among the women, which in turn shapes whether they perceive the current social policy changes positively. Of those recent policy changes, the most well-recognized one concerns equality after divorce. 90.3% of the women interviewed recalled the recent policy change giving women the equal rights over assets accumulated during marriage. When asked, majority of women noted domestic violence

and lack of employment opportunities respectively as top two concerns Turkish women face at the moment.

*Keywords:* gender equality, social policies, Turkey, women's rights.

## **Women's Views about Gender Equality on the Current Social Policy in Turkey**

It is now widely accepted that for societies to develop in a sustainable and peaceful manner, women equal participation in all aspects of social, political and economic life has to be achieved first and foremost (Hablemitoğlu, 2005). Falling short of equality while has had negative impacts for societies at large, impeding gender roles and gender relations, the most significant of those impacts have been felt by women themselves, locking them into strict social categories (Attanapola, 2004, Aylaz ve ark., 2014).

In societies gender roles are mainstreamed to collective consciousness with the availability and access to recourses, which often discriminates against women. Gender inequality while starts with individual's acceptance of society's categories of gender roles and gendered relations but only realized and sustained with the access to and availability of public and social resources (Balkır, 2012). It is these social and political structures of power that determines an individual's rights to various opportunities, resources and services promised in any given society. It is therefore essential that these judgements of such deservedness must be made regardless of one's gender and provide women and men with equal access to all benefits (Öztan 2004, Şimşek, 2011).

When studied from the perspective of gender relations, two broad social policy trends can be identified in the post 1980 Turkey. The earlier social policy approach adopted and perpetuated the belief that women's labor market participation was transitory and not permanent. It therefore encouraged women's dependency on the 'family' for their social

rights and supported their return to unpaid domestic sphere (Ecevit, 1995). Lately however the dominant social policy discourse has been, albeit superficially, accepting and supportive of women's potential contribution to labor markets, and thus tries to reorganize women's social rights around her employment. This latter approach further adopts a contradictory secondary layer as it continues with the earlier references to family and sharing of responsibilities within families without proposing any solutions to help ease women's burden within the household (Durudoğan, Gökşen, Oder and Yüksekler, 2010).

The 1982 Constitution of the Republic of Turkey recognizes equality as a fundamental right in its various articles and promises its protection and security by the state. Indirectly, it further emphasizes the need for and the commitment by the state to apply positive discrimination towards women and 'other disadvantaged' groups in all aspects of state policy. The newly articulated constitution further eliminates any remaining vagueness and instead establishes gender equality as a front and center goal and principle for all public institutions to follow (Doğan, 2013). The National Parliament of Turkey formally established the Commission for Opportunity Equality of Women and Men in its legislation numbered 5840 and with its publishing in the Formal Newspaper on March 24, 2009. This Commission is charged with the task of follow national and international processes and developments in the area of gender equality with the purpose to formally report and provide policy guidance and recommendations to the National Assembly and its related commissions (Gökçimen, 2008).

Turkish Government has long promised its pursuit of gender equality not only with its constitution but also with its ratification of numerous international agreements and conventions including first and foremost the CEDAW (Convention to Eliminate All Kinds

of Discrimination Against Women). Additionally it has also signed European Social Pact, the UN's Convention on Children's Rights as well as various conventions by other international organizations such as ILO, OECD and AGIK taking on gender inequality. It participated in the drafting of the Action Plan of the International Conference on World Population and Development in Cairo, and signed similar action plans and commitments resulting from the Fourth World Conference on Women and the Beijing Declaration. It also systematically committed to achieve and pursue gender equality within various policies and legal changes by producing a national action plan to eliminate gender inequality directed by the European Accession negotiations (KSGM, 2008).

Responding to the dynamic social and demographic changes Turkey has been experiencing in recent years, gender discrimination policies have occupied a center stage in policy debates. The most significant changes in policies concerning women's rights have been reflected in the 2004 Constitutional alterations. Article 10 of the 2004 Constitution states that "women and men have equal rights. The state and government are responsible for making sure that equality is realized in practice. With this article, the state assumes responsibility that goes beyond eliminating gender based discrimination to achieving real equity between women and men in all aspects of life with the promise and delivery of equal opportunities on May 7, 2004 (KSGM, 2008).

On May 7, 2004, the article 90 of the Constitution had been extended to give priority to international conventions and agreements, such as CEDAW, on matters of civil rights and liberties if and when there arise conflict between national legislation. Turkish Civil Code that designates civil rights and liberties for Turkish citizens have also been reassessed and restated in a way to reflect national and international changes pertaining to gender

equality on January 1, 2002. Following the changes in the Civil Code, Family courts have been created and put into function within the larger legal system in 2003. With increasing emphasis placed on the prevention of domestic violence, a new set of laws and regulations titled “Family Protection Laws” have been legislated in 1998. With this set of laws, for the very first time in modern Turkish history, domestic violence is made a crime recognized by the legal and police forces without needing the victim’s testimony and one that can be initiated by a third person. The law has even revised on May 4 2007 to interpret domestic violence more generally and beyond the immediate form of violence among spouses. Furthermore, the criminal law has been revised on June 1, 2005 to reassign crimes against women from its previous interpretation under crimes against society to crimes against individuals, and penalties have been strengthened. The most significant implication of this revision has been for the punishments against honor crimes, making them punishable with life in prison, the heaviest penalty available under law. The current labor market regulations and employment laws that have been put into action in 2003 have achieved significant progress towards gender equality in the work place. These changes have been legislated to provide job security to women against potential discrimination they may face during pregnancy and child birth and to ensure equal pay for equal work. Thus with the new Employment Law of 4857, flexible work arrangements have been secured and protected under the legal system (KSGM, 2008).

The first assessments of the initial steps taken by the government within the first five year plan towards achieving gender equality in Turkey highlight the formation of a new state commission to study the “Policies towards women” in 1987. This initial act was later follow by formation of the “Institute of Women’s Status” in 1990, and the enactment

of the legislation numbered 5251 in 2004 reorganizing the organizational structure and responsibilities of the “Institute of Women’s Status”. On June 8, 2011, this institute has been brought under the newly minted Ministry of Family and Social Policies, and has been charged with the task of protecting women’s human rights, strengthening their participation in social, economic, cultural and political realms, and ensuring their equal rights and opportunities (KSGM, 2014).

Turkey has been noted as one of the countries with the deepest gender gap according to the World Economic Forum’s Gender Gap Report in 2012. Gender gap report thus ranks countries according to four fundamental criteria: economic participation and opportunities, educational attainment, political participation and health and life expectancy (Hausmann, Tyson, & Zahidi, 2012). Further research maintains that when women’s educational attainment increases, their fertility rates decline, which also corresponds to declining infant mortality rates, increasing quality of child care, further educational opportunities for girls. There is no doubt that educational attainment and employment opportunities significantly influence women’s quality of life. Unfortunately, in Turkey women’s educational attainment still lags behind men’s. Women’s illiteracy levels remain four times the similar levels for men. One out of every ten women remains illiterate. Women’s educational attainment further decreases after elementary schooling further highlighting the gender gap in terms of educational attainment and opportunities (TUIK, 2011).

According to the April 2013 TUIK research, while only 1.7% of men over the age of 15 was illiterate in Turkey, whereas the same percentage for the same age group of women was 8.4%. A similar research in 2011 has demonstrated that for every 100 women

with a college degree there have been 149 men with comparable degrees (TÜİK, 2012a). According to TNSA 2013, women in urban areas fare better educationally compared to women living in rural areas. 35% of women in urban areas have at least a high school degree, whereas only 13% of women in rural areas have similar degrees (TNSA, 2013).

Women's participation in labor markets have long been recognized as a necessary component of development. Unfortunately for Turkey, women's labor market participation rates have been in a steady decline. In 1990 while 34% of women were participating in labor market, in 1995 this rate had declined to 30.6%, in 2000 to 26.6% and in 2004 to 25.4% and remained at 26.1% in 2009. Having noted the steady decline, women's labor market participation rates have modestly increased to 27.6% in 2010 and 28.8% in 2012 and remained at 28.7% in 2014 (TÜİK, 2008, 2010, 2012b, 2014). Of women who are participation in labor market, 91.2% have been employed with no social protection ([www.sosyal-is.org.tr](http://www.sosyal-is.org.tr)).

The 2003 changes in the employment law forbid differentiated pay scales based on gender. The law however has been less effective in addressing gender based discrimination that stem from culturally segregated employment opportunities and gender based lay off at times of economic crisis. Socially approved gender segregated employment opportunities often times lock women into lower paying jobs with less responsibilities, and often with no social security benefits. These jobs are more prevalent in labor intensive sectors such as textiles, food preparation, fashion and tobacco, and more importantly in farming. In farming women are employed as unpaid family members, and by virtue of that status they fail to seek protection from social security (Tan et al. 2008). All of this demonstrates that

while legal progress has been initiated towards gender equality, such formal changes fall short of achieving equality of employment security in reality.

Through structural and legal changes undertaken within larger development policies, Turkish women have increasingly been developing a collective consciousness on their rights of participation to all aspects of modern society. Yet, despite these legal reforms, their full participation has been limited by traditional gender roles (Köroğlu, 2006). According to Dökmen (2006), one of the most important impediments to achieving a modern and democratic society is gender inequality that is mainstreamed into day to day life. Akhun (2000) further confirms that in societies in which women and men are not allowed equal opportunities one could not seek and find a real democracy and notes that in Turkey this has been the unfortunate case when it comes to family responsibilities, access to education, and participation to labor markets as well as politics. Especially in developing countries where resources are generally limited, women are found to be at a further disadvantage which becomes noticeable in areas of health services, domestic violence and related stresses. Research conducted in this area summarizes gender based disadvantages women face in Turkey by stressing that women often have less education compared to their spouses, they are discouraged to enter paid employment due to their exclusive responsibilities at home and child rearing, and that when they do have paid employment they have less control over spending and other family related decisions (Kalaycıoğlu ve Toprak, 2004, Örucü at al. 2007, Şahiner, 2007, Günay ve Bener 2011). Other research that studies younger generation's (university students) attitudes towards gender roles has confirmed equally conservative and patriarchal gender role expectations, especially among younger men compared to younger women. These studies note that while supporting

family through paid employment was the most significant expectation from ‘fathers’, it was the last ranked expectation from “mothers”. Especially when it comes to work-life balance, social life, marriage and family life, men are noted to carry on more traditional expectations (Tubin, 2004, Vefikuluçay at al. 2007, Aydın, 2010). Thus the steady decline in women’s labor market participation in Turkey in recent decades, demonstrates the urgency in which the government and civil society organizations need to address this issue. Towards that direction, a significant first step remains education. Educational attainment not only promises a more productive labor force, but also maintains that an educated woman is more likely to raise educated children, likely to have fewer kids and hence would contribute to controlled demographic expansion and development plans in the long term. As such studies examining the underlying factors behind the traditional gender roles need to be encouraged. Further, the government policies and civil society organizations need to cooperate and focus on elements that will increase women’s labor market participation. (Berber, Eser and Yılmaz, 2008) In order to achieve gender quality in all aspects of life, long term policies and political strategies are necessary, which in turn need to be based on empirical studies on people expectations and views of those policies. This study therefore aims to contribute to that end by examining women’s perspectives on gender equality at large, and on gender specific social policies in particular.

## **Method**

### **Participants**

The study examines a sample of 1218 women's views from a central province, Çankaya, in the capital city of Ankara. Of those in the sample, 41% work full time outside the home. Of the remaining group, 24% cites childcare, 19.5% cites spousal objections,

and 15.5% cites housekeeping for reasons that keep them from seeking and keeping full time jobs. Among one of its interesting findings, the study shows a significant lack of women's civic engagement and/or interest in volunteer activities in organizations that take on gendered issues. A miserly 3.2% of the women interviewed report having participated in any civil society organizations that work on women's issues. A further statistical analysis of participating women's views highlight a clear age and education divide among the women, which in turn shapes whether they perceive the current social policy changes positively. Of those recent policy changes, the most well-recognized one concerns equality after divorce. 90.3% of the women interviewed recalled the recent policy change giving women the equal rights over assets accumulated during marriage. When asked, majority of women noted domestic violence and lack of employment opportunities respectively as top two concerns Turkish women face at the moment.

### **Sample and Sampling Method**

The study was carried out in the Kırkkonaklar community in the central province, Çankaya, in the capital city of Ankara. The sample of 1218 households were selected from a data base of 15950 families recorded at Çankaya health group presidency Kırkkonaklar health care center of the provincial directorate of health of Ankara. Households were chosen according to the “systematic sampling methodology” using house detection forms obtained from the health care center (Çingil, 1994).

### **Data Collection and Analyses**

Home visits were made to families willing to participate in the research. The interviewers then conducted face to face interviews with women in those selected households concerning their views on gender equality and social policies towards women.

The interviews were conducted by students studying at the Hacettepe University Department of Family and Consumer Sciences, during their summer internships June 4- July 3, 2013. The results were analyzed through use of SPSS program. Views on gender roles have been analyzed and the Kaiser Meyer Olkin (KMO) value of these data was found to be 0.877. The results of the factor analysis made on these data will be beneficial and useful. Bartlett's Sphericity test further confirmed a statistically significant correlation between variables and proved useful for further factor analysis ( $X^2$ : 3774,870, sd:78,  $p < 0,01$ )

The applied factor analysis eliminated the 3 variable from 14 to 11, and those 11 variables were analyzed on two dimensions with all factor strength results being over 0.400. As a result of the content validity, 11 items were classified into 2 sub-dimensions and all factor loads were above 0.400. The results according to these two dimensions are listed as below:

**1. Variables affecting views on gender equalit**

Variables	Factor Strength	% of variance	real value
<b>Factor 1 Negative views</b>		28,703	3,157
Women's place is with her husband	0,734		
Politics is a man's domain	0,684		
Head of household needs to be a man	0,682		

It is a mother's duty to teach her daughters that first and foremost responsibility is to be a good wife and a good mother	0,678	
Professional woman cannot keep up with their household duties	0,564	
Under no circumstances should a women consider divorce	0,553	
Domestic violence is a private matter should not be publically discussed.	0,636	
<b>Factor 2: Positive views</b>		20,134 2,215
Women can vote for different political parties than their husbands	0,447	
Women should be free to choose where and how to spend the money she earns	0,660	
Women should decide when and how many kids they would like to have	0,802	
Women should be free to chose their fashion styles	0,775	

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The "Negative Views" sub-dimension explains 28.703% of the total variance while the "Positive Views" sub-dimension explains 20.134% of it. "Positive Views" and

“Negative Views” sub dimensions together explain 48.837% of the total variance. A reliability analysis was applied and it revealed that “Negative Views” sub-dimension which included 7 items was very reliable ( $\alpha=0.797$ ) and the “Positive Views” sub-dimension including 4 items was reliable ( $\alpha=0.670$ ). Negative Views sub-dimension has an average of 2,95 with a standard deviation of 0,589. Positive Views sub-dimension has an average of 1,54 with a standard deviation of 0,498.

## Results

### Background information about the participants

**Socio Economic Status:** Participants age average varied between four groups: 18-27 (24.9%); 28-37 (25.7%); 38-47 (24.9%); and over 48 (24.5%). A 40.2% of the participants reported no independent income. 10.1% reported an income of 1-700TL; 28.8% reported an income of 701-1500 TL; 20.9% reported an income over 1500TL. When compared to household incomes, 3.4% of the participants come from households with incomes 750 TL and less; 23.1% from households with incomes 751-1500 TL; and 35.5% from households with 1501-2500TL; and 38% from households with 2500TL and above.

**Education:** The majority of participants had high school(11 years) diplomas(32.3%), which was followed respectively by 22.4% university graduates(15 years), 17.7% elementary school graduates(5 years), 11.2% middle school graduates(8years) and 8.9% Associate degree(13years) and 3.7% with graduate degrees (17 years). Another 3.8% of participants had not formal schooling.

**Employment:** 36.2% of participants had never worked outside the home. While 41.1% had a full time job, 7.1% had a part time employment. Of the remaining group,

6.6% had reported to have just left an employment, 6% was retired and 3.1% has been looking for a job. Of those who had reported to have been unemployed (n=80) 26% has been without a job for less than 8 months, 33.8% had been unemployed for 9-24 months; 15.6% had been unemployed for 25-60 months, and 24.7% had been unemployed for more than 60 months. Among those without a job (n=80) 20.7% noted that they had been fired, 24.7% reported that they had to leave their jobs to take care of their kids; 19.5% noted that their husbands asked that they leave their jobs, 15.6% needed to take care of household needs and 19.5% noted they no longer wanted to work. Of the participants, 84.5% were from nuclear families, 10.5 % had extended families, while 5% had single parent households. 32.9% of the participants had no kids, 20.9% had one child, 25.6% had two, 13.9% had 3 kids and 7.2% had 4 and more kids.

**Civic Engagement:** 95.2% of the participants had held no membership to any civic organizations working on women's issues. This study found however a statistically significant relationship between education and civic engagement, with women who have bachelor degrees are more likely to become members on organizations working on women's issues ( $p < 0,001$ ).

**Political Awareness:** more than half of the participants (54.8%) were not aware of the newly established Ministry of Family and Social Policies. A 70.9% of participants did not know that there existed a new institute on Women's status that was reporting to the ministry. 53.7% of the participants did not know anything about the positive gender discrimination policies. A whopping 75.9% of participants agree that women are not represented equally in the media. Educational levels emerge as statistically significant drivers for all the relationship noted above. Women with BA degrees have been found

statistically significantly more aware of the new ministry, new institute, as well as the new policies such as positive gender discrimination ( $p < 0,001$ ). Women with BA degrees also found an equal representation of women in the media and argue that women have equal voice ( $p < 0,001$ ).

The most significant concern that majority of the participants had was domestic violence. After domestic violence ranked inconsiderate spouse and lack of employment opportunities respectively. 50% of the participants disagreed with the statement that women's rights under this current government had experienced progress. Of those who disagreed, 30% disagreed, while 20% strongly disagreed. Similarly more than half of the participants, 53.4%, disagreed strongly with the government's recommendation that every women should have at least three kids.

### **Women's Views on Traditional Gender Roles**

Women's views on traditional gender roles were analyzed from a gender equality perspective regarding age; the one-way ANOVA made on these views showed that both Positive and Negative Views sub-dimensions had a statistically significant correlation between "age" variable ( $p < 0.01$ ). The percentage of younger women (18-27 years age) have significantly more negative views on gender equality compared to women between 38-47 and 48 and above ( $p < 0.01$ ) The rate of women between 38-47 with positive views on gender equality is higher than those between 18-27 and 28-37; moreover the rate of women above 48 having positive views on gender equality is higher than those between 18-27 ( $p < 0.01$ ) (See Table 2 below)

## **2. Women's Views on Gender Equality and Gendered Roles According to Age Groups (ANOVA)**

<b>Lower dimension</b>	<b>Age</b>	<b>N</b>	<b>Average</b>	<b>Standard Deviation</b>	<b>F</b>	<b>p</b>	<b>Difference</b>
Negative Views	18-27 Years old	303	3,08	0,560	12,032	<b>0,000*</b>	1-3,4 4-2,3
	28-37 Years Old	313	3,00	0,557			
	38-47 Years Old	303	2,93	0,571			
	48 years old and above	299	2,80	0,635			
Positive Views	18-27 Years old	303	1,47	0,493	6,400	<b>0,000*</b>	3-1,2 1-4
	28-37 Years Old	313	1,51	0,488			
	38-47 Years Old	303	1,62	0,504			
	48 Years old and above	299	1,60	0,496			

**\*: p<0,05    \*\*: p<0,01**

Regarding the educational statuses; women with lower educational attainment (elementary school) have significantly less negative views on gender equality compared to those with higher education (middle and high school as well as those with associate degrees, BA master’s and doctoral degrees). Similarly, those with middle school education have significantly less negative views compared to those with high school and above education levels, while those with high school degrees have significantly less negative views than those who have BAs and above. Women with associate degrees have significantly less negative views than those with BAs and above. The one-way ANOVA also showed that there was a significant correlation between Negative Views sub-dimension and educational statuses (p<0,01) (Table 3).

**3. Variance of Women’s Views on Gender Equality based on their education levels ANOVA)**

<b>Alt Boyut</b>	<b>Educational Levels</b>	<b>N</b>	<b>Average</b>	<b>Standard Deviation</b>	<b>F</b>	<b>p</b>	<b>Difference</b>
	No Education	46	2,18	0,470			1-
Negative Views	Elementary School (5years)	215	2,53	0,521	85,50	<b>0,000**</b>	2,3,4,5,6,7 2-3,4,5,6,7 3-4,5,6,7

	Middle School (8years)	136	2,65	0,497		4-6,7 5-6,7
	High School (11year)	394	3,04	0,526		
	Associate degree (13years)	109	3,08	0,486		
	Bachelor Degree (15years)	273	3,31	0,442		
	Graduate Degree (17+years)	45	3,35	0,408		
	No Education	46	1,88	0,493		
Positive Views	Elementary School (5years)	215	1,81	0,505	27,10	1-3,4,5,6,7 2-3,4,5,6,7 3-4,5,6,7
	Middle School (8years)	136	1,67	0,467	<b>0,000**</b>	4-6

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High School (11years)	394	1,50	0,481
Associate degree (13years)	109	1,43	0,456
Bachelor Degree (15years)	273	1,35	0,412
Graduate Degree (17+years)	45	1,41	0,524

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**\*: p<0,05    \*\*: p<0,01**

**Women’s Awareness of Existing Policies towards Gender Equality**

Of the women surveyed, a clear majority, 90.3% were aware of the current changes in the divorce laws dictating “men and women will equally share the wealth accumulated during marriage”. A 83.3% of participants were equally aware that women who have been married through religious ceremonies would have equal legal rights is in fact not true. Such high levels of awareness demonstrated that women are more sensitive to legal changes towards gender equality. However, they (41.6%) have not been equally aware of the legal

changes making women dependant on their husbands or their fathers for access to free health care (Table 4).

#### 4. Women’s Views on Existing Gender Equality Laws and Regulations

Expressions	Correct		Wrong		I do not know	
	N	%	N	%	N	%
At divorce wife gets half of all assets accumulated during marriage	1100	90,3	36	3,0	82	6,7
There is no income discrimination in Turkey	269	22,1	796	65,4	153	12,6
Girls can get married legally at age 13 with their parents’ consent	97	8,0	993	81,5	128	10,5
The religious marriage guarantees women legal rights	100	8,2	1014	83,3	104	8,5
Women and men are equal under law	900	73,9	242	19,9	76	6,2
Honor crimes are penalized more lightly compared to other murders	269	22,1	506	41,5	443	36,4
With the new social security legislation women’s access to free health care has been made dependent on their husbands and fathers	495	40,6	216	17,7	507	41,6

### **Conclusion**

A very small group of the participants, 4.8%, has ever joined a civil society organization that focuses on women's rights. More than half of the participants, 54.8% was not informed of the newly minted Ministry of Family and Social Policies, a further 70.9% of participants did not know that there existed a new institute on Women's Status, and 53.7% did not know of the positive gender discrimination. Of all the participants 75.9% did not agree that women were represented equally in the media not that they have equal voice.

Women in different age groups had statistically significantly different views on gender roles. As women's educational attainment increase they have less positive views on gender roles for women and men ( $P < 0.001$ ). A solid majority of participants, 90.3%, was aware of the legal changes that at divorce gave women equal share of wealth accumulated during marriage. In terms of difficulties women face, participants ranked domestic violence, inconsiderate spouses, and lack of employment opportunities respectively as most important. While half of the participants, 50%, did not agree with the statement that during the current government women experienced progress in gender equality, with 30% those did not agree, the remaining 20% disagreed strongly. More than half of the women surveyed, 53.4%, disagreed with the statement that every women should have at least 3 kids.

According to these results, it is clear that the government's existing efforts in eliminating gender inequalities and breaking away from gendered stereotypes have not been fully effective. To those ends this study recommends:

Instead of short term projects, long term and strategically planned policies need to be developed. Along with NGO, organizations in the public and private sector need to participate in the design and implementation of a wholesome and a coordinated policy effort towards gender equality.

It needs to be understood clearly that for a country to achieve sustainable development, women's labor market participation needs to be encouraged and ensured. The gradual yet steady decline in Turkish women's labor market participation demonstrates a lack of systematic government and civil society effort and notes the need to speed up this process.

With further regulations equal opportunities for women need to be created in employment. Policies need to focus on opening new employment fields equally to women, and the government needs to support such efforts. Traditional gender roles and stereotypes need that impede women's employment opportunities need to be disengaged with studies and research as such. A long term systematic advocacy campaign to inform and engage the public need to accompany other activities such as meetings and seminars on gender equality.

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## REZA SHAH'S 27-DAY OFFICIAL VISIT TO TURKEY

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### Abstract

Although the relations between Turks and Iranians date centuries back, during the times of Reza Shah and Mustafa Kemal these relations gained a momentum and a new shape. Reza Shah's 27-days visit to Turkey in 1934 demonstrated the peak of the bilateral relations between the two countries. Despite the visit has been a subject to several studies *the Özsoy opera which was composed in honor of Reza Shah has not been adequately addressed*. In this paper we would like to examine first the background of Reza Shah's visit and follow its steps from the beginning to the end. The visit to Turkey was Reza Shah's first and last foreign visit. This meeting should be seen as a success, especially for Reza Shah because he had hopes of obtaining positive results from that visit. For Atatürk, it provided an ample opportunity to show the reforms in the young Turkish Republic to a neighbor and a historical rival.

## REZA SHAH'S 27-DAY OFFICIAL VISIT TO TURKEY

After the end of First World War, it could be seen that both Turkey and Iran underwent some radical transforms in the governmental and social fields. Before the very first meeting between Reza Shah and Ataturk that took place in June 1934, Ankara, Turkey-Iran relations had not been always positive. With the exception of border problems during the Caliphate<sup>289</sup>, Turkey had a grudge against Iran for not recognizing their Sultan as Caliph of all Muslims, but after the meeting of the two heads of state, relations between Iran and Turkey started to improve. According to Hassan Arfa, this was because of the wisdom of the Shah's and Ataturk's policies.<sup>290</sup> It could be observed that these two states followed similar and parallel social and political reforms. After having some problematic relations between Iran and Turkey for centuries it could be claimed that Reza Shah and Ataturk turned a new page in their state relations. Obviously one of the most significant proofs of this new relation process is the formal state visit of Reza Shah to Turkey. Reza Shah did this visit as his first and last foreign visit.<sup>291</sup>

It could be seen that this visit had some contributions to the developments of social and political relations between these two countries. Clearly that visit should be counted as a success, especially for Reza Shah since he had hopes of obtaining positive results from that visit.<sup>292</sup> Additionally, in terms of Ataturk, thanks to the visit he had an opportunity to

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<sup>289</sup> On 3 March 1924, Caliphate was abolished in the Turkish Great National Assembly.

<sup>290</sup> General Hassan Arfa, *Under Five Shahs*, (Edinburgh: 1964), p. 252.

<sup>291</sup> Gavin R. G. Hambly, "The Pahlavī Autocracy: Rizā Shāh, 1921 - 1941," in *The Cambridge History of Iran*, ed. Gavin Hambly et al. Vol: 7, (Cambridge: Cambridge University Press, 1991), p. 236. See also; Barış Cin, *Türkiye - İran Siyasi İlişkileri 1923-1938*, (Istanbul: IQ Kultur Sanat, 2007), p. 117-118.

<sup>292</sup> General Hassan Arfa, *Under Five Shahs*, (Edinburgh: 1964), p. 252.

show the reforms in the young Turkish Republic and, in any case, a great and durable brotherhood and friendship was established between these two states.

This 27 day visit of Reza Shah to Turkey was obviously important for both states, in terms of political relations, and also important for an emerging narrative of modern culture. Since this official state visit has such an importance it also took the attention of media not only in two states but also foreign press paid close attention to this meeting. It also might be due to the meeting between Mussolini and Hitler whose meeting took place in the same week in Venice. Press have coverage about both meetings, it can be seen newspapers such as *Cumhuriyet* in Turkey and *Ettela'at* in Iran.<sup>293</sup> In another foreign press coverage it is reported that:

“While the attention of Western Europe has been riveted upon the meeting at Venice of the dictators of Germany and Italy, another similar meeting is now being held in the capital of Turkey. At Angora the Ghazi Pasha is entertaining with full ceremonial honors his ‘good friend and brother’, Reza Shah of Persia.”<sup>294</sup>

Although some research has been conducted about that important visit and Turkey - Iran political relations, no extensive study exists which adequately covers the visit in detail. There is insufficient data for the actual ‘visit days’ and what was experienced during the visit for both states. Additionally, it is hard to find a study about how the media interpreted this important meeting. Inevitably, the rendezvous of these two heads of states inspired interest in both the media of the two countries and international media.

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<sup>293</sup> *Cumhuriyet*, June 11, 14, 20 and 25, 1934; *Ettela'at*, June 19, 1934.

<sup>294</sup> *Daily Telegraph*, June 19, 1934.

The first part of this paper is the main part of the study and concerns the meeting. It focuses on three key parts of the official meeting. The first part starts with a short biography of Reza Shah Pahlavi and it is followed by the decision-making about the visit and arrangements with Ankara in respect of the meeting. Then the last part deals with the 27-day visit from the border to Istanbul.

## **REZA SHAH'S 27-DAY OFFICIAL VISIT TO TURKEY**

### **Reza Shah Pahlavi**

Little is known of the early life of Reza Shah<sup>295</sup>. Even his date of birth is uncertain. His official birthday was known as 16<sup>th</sup> of March 1878 and he was born in the district of Savadkuh called Alasht. He died July 26, 1944, Johannesburg. He had little formal education and in the first half of his adult life he was a simple soldier, obeying the rules of his ancestors. He improved himself, not only physically, but also mentally as he taught himself to write and read.<sup>296</sup>

During Reza Shah's reign (1926-1941), Iran made progress in western style armed forces, transportation network, state sponsored schools and also urban reconstruction, this could be called "modernization western style."<sup>297</sup> He was a key figure in the twentieth century political development of Iran and took cognizance of foreign affairs too. Some observers especially saw him as imitating the statist and westernizing innovations of Mustafa Kemal. Regarding to this issue when he was talking to the ambassador Husrev

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<sup>295</sup> See for the bibliography in; Donald N. Wilber, *Riza Shah Pahlavi: The Resurrection And Reconstruction Of Iran*, editor, (New York: Exposition Press, 1975); Cyrus Ghani, *Iran and Rise of Reza Shah: From Qajar Collase to Pahlavi Power*, (London:1998).

<sup>296</sup> Elwell Sutton, L.P., *ibid.*, p.6; see also <http://www.britannica.com/EBchecked/topic/500867/Reza-Shah-Pahlavi>

<sup>297</sup> Elwell Sutton, L.P., *ibid.*, p. 83.

Gerede<sup>298</sup> he expressed that Turkey was in a progress by the guidance of Ataturk and was going to be developed day by day.

### **Deciding the visit and correspondences between Turkey and Iran**

Reza Shah made an effort to move towards a developed and modern Iran. In doing so he took Turkey as a mentor model.<sup>299</sup> Moreover, he paid attention to international affairs. As an example of his attempts, in 1922 Iran sent an ambassador to Turkey and 1923 Turkey sent Muhittin Pasha as an ambassador to Iran.<sup>300</sup> After a while Husrev Gerede was appointed as an ambassador to Tehran. During Husrev Gerede's time he contributed to the improvement of the relations between Iran and Turkey. These two countries' relations developed especially after 1932. Specifically, after the conclusion of a treaty between the two states on 23<sup>rd</sup> of January 1932 in Tehran by Iran Foreign Affairs Minister, Ali Foroughi Khan (1877 - 1942) and his Turkish colleague Tefvik Rustu (1883 - 1972).<sup>301</sup> After the border problem was solved in a satisfactory way for both sides Ataturk wanted to meet with Reza Shah. However, at the time Ataturk was unable to leave the county and it was not appropriate for Reza Shah too. He therefore suggested to meet Shah at the border and asked this through Husrev Gerede.<sup>302</sup> Reza Shah liked the idea and invitation and he told:

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<sup>298</sup> Husrev Gerede was born in Edirne in 1886 and died in 1962, he was one of the Ataturk's friend. Except from Tehran, he also worked as ambassador in Budapest and Sofia. Fethi Tevetoğlu, *Atatürk ile Samsun'a Çıkanlar*, (Ankara, 1987), p. 185.

<sup>299</sup> Jacques Lapeyre, *Shâh-e Irân*, (Belgium: 1999), p. 26.

<sup>300</sup> Ömer Erden, *Mustafa Kemal Atatürk Döneminde Türkiye'yi Ziyaret Eden Devlet Başkanları*, (Ankara: 2006), p. 178.

<sup>301</sup> Iskander Deldem, *Zendegi-ye Por Majara-ye Reza Shah*, (Tehran: Golfam, 1991), p. 366 - 367.

<sup>302</sup> Barış Cin, *Türkiye - İran Siyasi İlişkileri 1923-1938*, (Istanbul: IQ Kultur Sanat, 2007), p. 116; Rıdvanbeyoğlu Hüsrev Gerede, *ibid.* p. 263.

“Actually, I want to visit Ghazi Excellency in his office in Ankara. But my desire can be real at least two or three years’ time. But before this for me also nice to meet him in the border, I am ready for a meeting with the wish of Ghazi.”<sup>303</sup>

Turkish government therefore made the decision to officially invite Shah by the end of the 1933 to Turkey.<sup>304</sup> After Reza Shah’s decision about the journey, Husrev Gerede started to correspond with Ankara and warned them to provide the necessary requirements for Reza Shah’s comfort and to represent the young Turkey in a good way. In a report that Husrev Gerede sent to Ankara he told them that since Shah also had a military background it would be better to show him naval forces, air forces and army forces with a special demonstration to make a good impression.<sup>305</sup> Except from those he strongly suggested to present to Reza Shah, schools, military and munitions factories. Additionally, he suggested that as Shah had many farms in Iran, agricultural zones or sample farms also could be shown.<sup>306</sup>

### **Arrangements for the visit**

After indicating Reza Shah’s intention to go to Turkey on 10<sup>th</sup> of June 1934, media started to write about the visit. Turkey also started the preparation for the meeting and it was announced by the Iranian prime minister that the visit of Reza Shah was going to last twelve days.<sup>307</sup> While Turkey started preparations, Iranian nation was rather unsatisfied

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<sup>303</sup> Rıdvanbeyoğlu Hüsrev Gerede, *Siyasi Hatıralarım-1/İran*, (İstanbul: Vakıf, 1952), p. 264.

<sup>304</sup> Barış Cin, *ibid.*, p.118.

<sup>305</sup> Rıdvanbeyoğlu Hüsrev Gerede, *ibid.*, p. 267-269.

<sup>306</sup> Rıdvanbeyoğlu Hüsrev Gerede, *ibid.*

<sup>307</sup> Barış Cin, *Türkiye - İran Siyasi İlişkileri 1923-1938*, (İstanbul: IQ Kultur Sanat, 2007), p. 120.

about Shah's visit, according to Ettela'at's coverage; it was because of Shah's absence of the country for a few weeks. However they are also happy for this meeting, it is stated that:

“Since Shah will meet Ataturk in a friendship manner, this meeting will influence and increase the two countries political relations in a positive way. Because of this reason Iranian people happy for this journey.”<sup>308</sup>

The official schedule of Reza Shah's journey was released to the public on 26<sup>th</sup> May 1934. According to the schedule Reza Shah would cross the border on 10 June 1934, from Gurcubulak<sup>309</sup> border gate, and then he would reach Trabzon by Beyazit, Igdir, Kagizman, Kars, Erzurum, Bayburt, and Gumushane. From Trabzon he would pass on to Samsun with the ship Yavuz. According to the schedule Shah would go to Ankara on 19<sup>th</sup> June 1934, with a special train. It was stated that he would stay there until 19<sup>th</sup> of June and then he would go to Istanbul on 20<sup>th</sup> of June.<sup>310</sup>

While Turkey continued to make the arrangements it is supposed that Reza Shah would start his journey on 3<sup>rd</sup> of June 1934 from Tehran with the people who would accompany him during the visit.<sup>311</sup> When the visit day came closer, Turkey and Iran's flags were hung in the streets. In addition, the places where Reza Shah and his entourage were due to visit started to prepared.<sup>312</sup> Since Reza Shah would stay at the Halkevi (People's

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<sup>308</sup> Ettela'at, May 15, 1934.

<sup>309</sup> It is a border check point into Iran.

<sup>310</sup> Cumhuriyet, May 27, 1934.

<sup>311</sup> Cumhuriyet, June 08, 1934.

<sup>312</sup> Ibid.

House)<sup>313</sup> in Ankara, that place also prepared carefully and Mustafa Kemal controlled and checked every detail by himself.<sup>314</sup>

In addition to those preparations, some gifts, which were to be presented to Reza Shah, began to be prepared as well. One of them was a memory medallion for him. 150 medallions were prepared, one was made of gold and the rest were made of silver and bronze.<sup>315</sup> One side was going to have Reza Shah's cartouche and the other side Ataturk's cartouche picture. Under Ataturk's pictures it was written in Turkish:

“To the memory of Great Reza Shah Pahlavi's visit to the president of the Turkish Republic, Excellency Ghazi Mustafa Kemal Ataturk. Ankara - 1934”

Under the Reza Shah's picture it was written in Persian:

“Be yâdgâr-e molâqât-e a'liḥadrat-e homâyūnī Reḍâ Shâh-e Pahlavî shâhanshâh-e Irân bâ ḥadrat-e qâḍî Mowṣṭafâ Kamâl raîs-e jomhowr-e Towrkîyeh – 1934 Ânkârâ.”<sup>316</sup>

In addition to the medallions, a valuable album and an airplane, which was started to complete in a plane factory in Kayseri were presented to Reza Shah.<sup>317</sup> After making the

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<sup>313</sup> Reza Shah was stay there during his time in Ankara.

<sup>314</sup> Cumhuriyet, June 15, 1934.

<sup>315</sup> Mehmet Okur, “The Gift Given To Foreign Presidents By Ataturk,” *Journal of Atatürk Yolu*, Vol: 9, Issue: 33, (2004): p. 83-84, accessed April 18, 2013, URL: [http://dergiler.ankara.edu.tr/detail.php?id=45&sayi\\_id=793](http://dergiler.ankara.edu.tr/detail.php?id=45&sayi_id=793)

<sup>316</sup> Mehmet Okur, *ibid.*; Cumhuriyet, June 03, 1934, see also; Hilal Akgul, “Riza Han`in Turkiye Ziyareti (The Visit of Reza Khan to Turkey)”, *Journal of Turkey Research in Recent Era (Yakın Dönem Türkiye Araştırmaları)*, Vol: 7 (2005): p. 19-20, accessed April 7, 2013, URL: <http://www.journals.istanbul.edu.tr/tr/index.php/turkiyearastirmalari/article/view/18916>

<sup>317</sup> Mehmet Okur, *ibid.* See also; Cumhuriyet, June 04, 1934.

necessary tests this plane was sent to Ankara on 2<sup>nd</sup> of June 1934. Turkish pilots would deliver the plane to Tehran.<sup>318</sup>

Shah was thought to have arrived in Maku<sup>319</sup>, the closest city to the Turkish border, on 9 of June with his assistants and one day later he was supposed to cross the border from Gurcubulak border gate.<sup>320</sup> After he was met by the committee he was going to watch a military ceremony and stately observance, which were decided months ago.<sup>321</sup>

After arriving in Bayazit,<sup>322</sup> the next stop would be Agri. Then the next day they were supposed to be in Igridir. 11<sup>th</sup> of June, in Kars, Shah was going to attend to an opening ceremony for dried milk factory. After then on 14 June they were supposed to be in Trabzon through Erzurum, Gumushane and after passing the other stops. According to the newspaper Aksam, Reza Shah would be in Bayazit by noon and then in the evening was supposed to be in Igridir. On 11 June at noon they would be in Kagizman and in the evening in Kars. The next day, in the evening, in Erzurum and after that they would be in the Bayburt during the day then in Gumushane in the evening. Shah was due to be in Trabzon in 14<sup>th</sup> of June.<sup>323</sup> After spending one night in the ship Yavuz he was supposed to be in Samsun in the morning. There a flavoured tobacco would be present to the Shah. Then with a private train he was assumed to be in Ankara on 16 June 1934, at about 13:30.<sup>324</sup> In Ankara the entire city was supposed to be covered with the Turkish and Iranian flags, and

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<sup>318</sup> Mehmet Okur, *ibid.*, p. 83-84; Cumhuriyet, June 03, 1934.

<sup>319</sup> Maku is a city in the West Azerbaijan Province, Iran.

<sup>320</sup> Cumhuriyet, May 27, 1934.

<sup>321</sup> *Ibid.*

<sup>322</sup> It is a city and district of Agri in Turkey, the most eastern district to cross Iran.

<sup>323</sup> Aksam, June 01, 1934.

<sup>324</sup> Cumhuriyet, May 27, 1934; Cumhuriyet, June 01, 1934.

big triumphal arches were thought to be set.<sup>325</sup> Shah was supposed to be met by Ataturk, Ismet Pasha and Kazim Karabekir Pasha in the train station. During his stay in Ankara he would stay in Halkevi, and his entourage were supposed to stay in the Palas Hotel. Within the same afternoon Shah was supposed to do a return visit to Ataturk.<sup>326</sup> In the first evening Ataturk would give a dinner to the honour of Reza Shah. The following day Shah was supposed to meet with Ismet Pasha in his manor. The next day Shah was supposed to accept the ambassadors and in the evening there would be a fete for Reza Shah. According to the schedule on the last day some institutes and museums were supposed to shown to him and after a tea party he would attend a concert in the evening in the Halkevi.<sup>327</sup> After Ankara, Shah and his entourage were supposed to move towards Istanbul, passing through Eskisehir, Afyon, Kutahya, Izmir, Canakkale and Balikesir. While passing through these cities some military institutions and modern establishment were supposed to show to Reza Shah. In the meantime preparations in Istanbul were still continuing as all the streets and avenues were being covered in the two countries' flags. A triumphal arch was supposed to set on Galata Bridge, which was supposed to be in Iranian architecture, so that respect and love would be shown to Reza Shah. For the honor of the great quest, a special flag was made, which was light purple and had an Iranian emblem in the corner and in the middle a big crown picture.<sup>328</sup> In short, the cities, which Shah would pass, were making some

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<sup>325</sup> Cumhuriyet, June 01,08,10, 1934.

<sup>326</sup> Hilal Akgul, "Riza Han`in Turkiye Ziyareti (The Visit of Reza Khan to Turkey)", *Journal of Turkey Research in Recent Era (Yakın Dönem Türkiye Araştırmaları)*, Vol: 7 (2005): p. 18-20, accessed April 7, 2013, URL: <http://www.journals.istanbul.edu.tr/tr/index.php/turkiyearastirmalari/article/view/18916>; see also Cumhuriyet, May 27, 1934; Cumhuriyet, June 01, 1934.

<sup>327</sup> Cumhuriyet, May 27, 1934.

<sup>328</sup> Hilal Akgul, *ibid.*, p.19-20; Cumhuriyet, June 02, 05, 07, 1934.

arrangements, from reconstructing the streets to hanging flags to triumphal arches. To make the things in order and without any problem some official committees were established. After completing the visit, Reza Shah and his entourage were supposed to return from the same road with the same celebrations.<sup>329</sup>

### **The process of the ‘Visit’**

#### **From border to Trabzon**

In May, the Turkish and Iranian governments had corresponded for Reza Shah’s forthcoming visit. The Turkish government was informed with a telegram from the Iranian consulate that Reza Shah will be moved to Turkey in the second Saturday of June.<sup>330</sup> Eventually, Reza Shah and his entourage started their journey from Tehran on 3 June 1934, through Turkey for his first and last official state visit.<sup>331</sup> After eight days Shah and his entourage reached the Turkey border, passing through Qazvin, Tabriz and Maku.<sup>332</sup> During his journey to the Turkish border he received a telegram from Ataturk stating his impatience to welcome his “fraternal presence.”<sup>333</sup> In June 1934 Reza Shah left Tabriz and crossed into Turkey with a mission of high ranking Iranian officials,<sup>334</sup> eight military officers, five civil officers, his secretary and Abbas Masudi, an editor of the Tehran daily newspaper, Ettela`at.<sup>335</sup> Husrev Gereide joined this group in Maku, after spending a night

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<sup>329</sup> Cumhuriyet, June 15, 1934.

<sup>330</sup> Aksam, June 04, 1934.

<sup>331</sup> Cumhuriyet, June 04, 1934; Milliyet, June 04, 1934.

<sup>332</sup> Ettela`at, June 3, 13 and 19, 1934.

<sup>333</sup> Donald N. Wilber, “‘Work’ has been Our own slogan”, in *Riza Shah Pahlavi: The Resurrection And Reconstruction Of Iran*, ed. Donald N. Wilber, (New York: Exposition Press, 1975), p. 157.

<sup>334</sup> Habibullāh Mukhtārī, *Tārīk-i Bīdārī-i Irān*, (Tehran: 1326), p. 483.

<sup>335</sup> For the names see: General Hassan Arfa, *Under Five Shahs*, (Edinburgh: 1964), p. 244.

there,<sup>336</sup> the next day on the 10<sup>th</sup> of June Shah and his entourage crossed the border at 9:00 am from the Gurcubulak border gate with a great ceremony.<sup>337</sup> On the Turkish side of the border the commander of the Turkish military forces, Ali Said Pasha and the military group were present to welcome Shah and his entourage.<sup>338</sup> According to the newspaper Aksam he crossed the border by passing an arch, on which “Khosamadīd” (welcome) was written in Persian. Husrev Gerede was also with him.<sup>339</sup> Arches had Iranian and Turkish flags on both sides with honor guards from each of the states present. When Reza Shah’s motorcade came close to the border Ali Said Pasha and some other people from the government were ready to meet them and when they faced each other under the arch both state’s national anthems were played by a band.<sup>340</sup> At the same time, the guests were also welcomed by firing a 21-gun salute. Then Reza Shah and his entourage passed through under the arch on foot.<sup>341</sup> His ceremonial crossing of the border certainly had political importance.<sup>342</sup> Firstly, it was to verify the existence of the newly demarcated border between the two states and secondly to project a message of international cooperation between the two nations.<sup>343</sup> Not only Turkish media, but also Iran’s press was interested in the ceremony of border crossing.

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<sup>336</sup> Aksam, June 10, 1934.

<sup>337</sup> Cumhuriyet, June 11, 1934.

<sup>338</sup> Mohammad Ali Amir Jahed, *Sālnāme-ye Pārs*, (Tehran: 1935), p. 88; Cumhuriyet, June 14, 1934; Aksam, June 11, 1934.

<sup>339</sup> Aksam, June 11, 1934.

<sup>340</sup> General Hassan Arfa, *Reza Shah dar Ayne-ye Khaterat*, ed. Ibrahim Safayi, (Tehran: 1897), p. 65.

<sup>341</sup> General Hassan Arfa, *Under Five Shahs*, (Edinburgh: 1964), p. 244-245; Barış Cin, *Türkiye - İran Siyasi İlişkileri 1923-1938*, (Istanbul: IQ Kultur Sanat, 2007), p. 120.

<sup>342</sup> See the appendix no: 1

<sup>343</sup> Afshin Marashi, “Performing the Nation”, in *The Making of Modern Iran*, ed. Stephanie Cronin, (London: Routledge Curzon, 2003), p. 103.

## **From Trabzon to Ankara**

The arrangements, which were started long before, were completed and Shah reached Trabzon on 14<sup>th</sup> of June. He was welcomed with the same intimate and glorious welcoming ceremony. While Shah was on his way to Ankara, all the arrangements were completed in Ankara and Ataturk checked every detail himself, and city folk started to wait for the great quest.<sup>344</sup> Ankara had a rush in the morning of 16 June, 1934 because the entire city was waiting for Reza Shah's coming to city. All the arrangements had finally been finished. Mustafa Kemal was supposed to meet Shah at the station with Ismet Inonu, Tevfik Rustu and Kazim Karabekir.<sup>345</sup> According to the schedule, Shah and Ataturk would leave the station together with the same car to the People's House and then Shah was supposed to make a return visit to Ataturk in the manor. After that meeting it was supposed to give a feast in the evening for the honor of Shah's visit. In this reception both leaders, Ataturk and Shah were due to give a speech.<sup>346</sup> At about two clock high state officials started to come to the train station to meet Shah. Military services were also present at the ceremony. At 14:25 Ataturk came to the station and started to wait for Reza Shah with senior members of the Turkish government. At 14:30 the train came into the station slowly and stopped in front of Ataturk, Shah disembarked from the train and was greeted by Ataturk.<sup>347</sup> After shaking Shah's hand Ataturk made a short speech.<sup>348</sup>

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<sup>344</sup> Milliyet, June 16- 17, 1934; Son Posta, June 15.

<sup>345</sup> Cumhuriyet gave the whole program in the edition of 14 June, 1934.

<sup>346</sup> Aksam, June 16, 1934; Son Posta, June 16, 1934.

<sup>347</sup> See the appendix, no: 2.

<sup>348</sup> To watch the meeting see:

“When we look to the relations of the past, it could be seen that when we fell from the way of brotherhood and friendship we had trouble but when relations turned to become normal, which was necessary for both states interest, everything started to progress in the way of prosperity, power and happiness. Turkey was aware of that for this reason; the friendship with Iran will represent our foreign relations from this day forth. I am sure that his Majesty and the Iranian people have the same feeling. Moreover, friendship between Turkey and Iran will be powerful and persistent.”<sup>349</sup>

Before the visit of Reza Shah, Atatürk wanted Munir Hayri Egeli to write an opera to emphasize the brotherhood of the two states. At the request of Atatürk, an opera *Özsoy* (pure lineage), which is based on a version of *Shahname* (Book of Kings) by the famous Iranian poet Firdausi, was composed for the celebration of Turko – Iranian friendship. That opera was the first example of national opera in Turkey and was performed on 19 June at four o’clock. Additionally, it was broadcasted live in Ankara and Istanbul at the same time.<sup>350</sup> The opera was based upon a common mythology of Iran and Turk. It is useful to state here shortly about the opera.

The opera starts with Faridun and the birth of his two boys in a day. He named his children Tur and Iraj. The babies were blessed with the best wishes of seven angels, so they will never die and will live together. However, Ahriman, the representative of iniquity, cursed the brothers to forget each other in the future. Significantly, the three act opera had a subject that showed that, although there are denominational differences between the Shi’a

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<http://www.youtube.com/watch?v=osD5pfvnlD8&list=PL5A7B58C1ED0B18F1> Also see the appendix, no: 3.

<sup>349</sup> Pars Tuğlacı, *Çağdaş Türkiye*, Vol: 1, (Istanbul: Cem, 1987), p. 491-492.

<sup>350</sup> *Milliyet*, June 19, 1934; *Son Posta*, June 19, 1934.

Iranian and Sunni Turks, they have brotherhood relations in terms of culture. Ataturk was concerned with the arrangements of this opera himself. When Ataturk's aim to make new Turkish identity ideas was considered, this opera was like an emotional investment to the new Turk identity. After watching this opera, Reza Shah and Ataturk left from the opera house with acclaims.<sup>351</sup>

### **From Ankara to Istanbul**

As it was stated above, Reza Shah and Ataturk decided to go to Istanbul by passing some western cities with their entourage. During his stay in Ankara, Ataturk asked Reza Shah to extend his visit and Shah accepted that suggestion.<sup>352</sup> The first stop of the leaders and their entourage was Eskisehir on 21 June 1934. After that they moved to the train to continue their trip to Afyon. Finally, they reached Canakkale and during their visit Ataturk gave some information about the Canakkale victory to Shah. After seeing Canakkale, they started their way to Istanbul by boat. During the journey Reza Shah spoke about the reforms and innovations in Turkey with enthusiasm. He especially emphasized the secularism in Turkey and stated interception of denominational differences between these two states.<sup>353</sup> The journey was supposed to last one day and the next day at about four o'clock they disembarked.

By the time Shah and Ataturk were on the way to Istanbul, all the arrangements and welcoming ceremony had been completed before they came to city. All the arrangements

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<sup>351</sup> Aksam, June 20, 1934; Cumhuriyet, June 20, 1934.

<sup>352</sup> Barış Cin, *Türkiye - İran Siyasi İlişkileri 1923-1938*, (Istanbul: IQ Kultur Sanat, 2007), p. 129 - 130.

<sup>353</sup> Son Posta, June 26, 1934.

were checked by a special committee.<sup>354</sup> When they were passing from Kiz Kulesi (Maiden's Tower)<sup>355</sup> Shah asked wonderingly, “Is it all Istanbul?”, then he added:

“How wonderful, it is a very beautiful and big city. I had heard about it but I even could not dream it would be like this”<sup>356</sup>

They were welcomed first by the governor, mayor and corps commander and they expressed their pleasure to see these two leaders visit Istanbul. Then they went to Dolmabahce Palace, where Reza Shah was to stay during his time in Istanbul. Reza Shah’s retinues went to Hotel Perapalas to stay during the visit.

On the first day of the visit to Istanbul Shah and his entourage met with Ataturk in Beylerbeyi Palace. They then visited a maritime high school together. They took a walk in the school and watched a lesson, at the end Reza Shah expressed his pleasure about what he had seen.<sup>357</sup> During his stay in Istanbul, he was given a photo album of Istanbul and a collection of newspapers that were published during his journey.<sup>358</sup> On the last day of his visit, which was 2<sup>nd</sup> of July 1934, Shah and his entourage started their return journey.

On 6<sup>th</sup> of July Shah and his entourage reached the Gurcubulak border from Erzurum. Again at the border he was welcomed by a cheering crowds and flags on both sides of the border. Before return to his country Shah wanted to thank Ataturk again by sending a wire. On the border Shah was met by Turkish and Iranian soldiers and with a big public demonstration. Between cheering crowds he crossed the border and with his

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<sup>354</sup> Aksam June 25, 1934; Milliyet, June 26, 1934.

<sup>355</sup> <http://www.ibb.gov.tr/sites/ks/en-US/1-Places-To-Go/towers/Pages/maiden-tower.aspx>

<sup>356</sup> Barış Cin, *Türkiye - İran Siyasi İlişkileri 1923-1938*, (Istanbul: IQ Kultur Sanat, 2007), p. 133.

<sup>357</sup> Cumhuriyet, June 28, 1934; Milliyet, June 28, 1934.

<sup>358</sup> Son Posta, June 28, 1934.

entourage he moved to Maku.<sup>359</sup> After Reza Shah's return newspapers mentioned about the effect of this visit on Reza Shah, according to Ettela'at:

“Shah's journey to Turkey had an impact on Iranian social issues. Reza Shah made great changes on Iran's social bases. These changes took place on Reza Shah's mind during his stay in Turkey... Two things were very interesting for Reza Shah and his entourage: one was the gorgeous welcoming ceremonies in all the cities; and the other was the intimate interest for Reza Shah by Turkish people. The most important issue was during his stay in Turkey, Shah always accompanied by Ataturk.”<sup>360</sup>

### **AN OPERA FOR THE HONOR OF REZA SHAH (ÖZSOY)**

Ataturk was aware of the value of the arts. For him, it had both artistic and cultural importance as well as ideological and political importance. According to Ataturk, arts had a positive contribution to the progress of state-building.<sup>361</sup> With regard to Turkish national opera, “Özsoy”<sup>362</sup> was a significant step. Before Özsoy there were other operas, such as Sultan Cem 1922-23, L'Enchantement 1924, Zeybek 1926 and Celebi 1924-25, all of which were librettos by Ekrem Resit Bey.<sup>363</sup> However, none of them were performed but Özsoy was. It was therefore the first performed Turkish opera, composed by Ahmet Adnan Saygun (1907-1991), and the libretto was written by Munir Hayri Egeli. It was entitled

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<sup>359</sup> Milliyet, July 9, 1934.

<sup>360</sup> Ettela'at, September 15, 1934.

<sup>361</sup> And, Metin. “Opera and Ballet in Modern Turkey”, in *The Transformation of Turkish Culture*, eds, Günsel Renda and C. and Max Kortepeter, (USA: Kingston Press, 1986), p. 69. See also: Aksam, June 29, 1934.

<sup>362</sup> Later entitled *Feridun*.

<sup>363</sup> Metin And, *ibid.*, p. 79.

Özsoy (pure lineage) and premiered on 19<sup>th</sup> of June 1934 in Ankara at the Halkevi (People's House) in honor of the Iranian Shah, Reza Shah's visit to Turkey in 1934<sup>364</sup>. However, it should be asked why an opera and what is the purpose of this opera.

Ataturk's reforms, also affected Turkey's musical life. He put great importance on music and indeed on all the arts, he was using the arts, such as theatre and musical arts as a tool to develop and improve relations between neighboring countries.<sup>365</sup> Özsoy is a good example of this. During Reza Shah's stay in Ankara, he was invited to attend to a specially composed opera to celebrate Turko - Iranian brotherhood and friendship.<sup>366</sup> Ataturk charged Adnan Saygun with composing the opera<sup>367</sup>, and the libretto was written by Munir Hayri Egeli, but the idea of showing an opera came from Ataturk himself. How did the idea of showing an opera to Reza Shah come to his mind? According to the composer, Adnan Saygun:

“I think the reason to show an opera performance was that, at that time he wanted to establish a strong friendship between the two states... He wanted to show the idea of brotherhood to Reza Shah - that's why he chose a legend from Iranian literature.<sup>368</sup> Ataturk can declare that friendship idea during a

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<sup>364</sup> Kathryn Woodard, Music Mediating Politics in Turkey: The Case of Ahmed Adnan Saygun, *Comparative Studies of South Asia, Africa and the Middle East*, Vol:27/3 (2007): p. 555, accessed May 5, 2013, URL: [http://www.academia.edu/3448208/Music\\_Mediating\\_Politics\\_in\\_Turkey\\_The\\_Case\\_of\\_Ahmed\\_Adnan\\_Saygun](http://www.academia.edu/3448208/Music_Mediating_Politics_in_Turkey_The_Case_of_Ahmed_Adnan_Saygun)

<sup>365</sup> And, Metin. Ibid, p. 70.

<sup>366</sup> Houchang E. Chehabi, “From Revolutionary Tasnif to Patriotic Surud,” in *Music and Nation - Building in Pre - World War II Iran*, (British Institute of Persian Studies, Vol: 37, 1999): p. 149, accessed July 23, 2013, URL: <http://www.jstor.org/stable/4299999>

<sup>367</sup> See the appendix no, 8 pictures 1,2 and 3.

<sup>368</sup> The subject of Özsoy opera related to the work of Firdausi's Shahnameh (got inspired from Faridun part).

conversation with Shah but he wanted to use the power of music and scene. He thought that showing this brotherhood in an artistic atmosphere would be more effective.”<sup>369</sup>

Ataturk could have shown the new cities and two factories which had already been established by that time, but all these could be seen in Iran, an opera however, would be an innovation for Reza Shah. The reason beyond wanting to express the friendship between Iran and Turkey was Ataturk’s aim to impress the Shah by showing him that, among the Eastern countries, Turkey was the most developed state which both admired and adopted Western culture and art.<sup>370</sup>

### **Conclusion**

With this paper, I have attempted to demonstrate that Reza Shah’s visit to Turkey was important for both states. In terms of Ataturk, it was a chance to show the modern young Turkish Republic to Iran. In addition, since there were some problems such as border issues, for him this visit was an opportunity to make the relations both socially and politically stronger. With regards to Reza Shah, making this visit had more significance for him. He was hoping to gain more positive results. Since this 27 day visit was so important for both heads of the state it had a broad coverage in local and foreign media. Because this meeting was very interesting for both states and the media there is already some research about it. However in my investigation I realized that there was no comprehensive study, which discuss this meeting properly. This is one of my reasons for writing this paper, to do

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<sup>369</sup> Journal of Atatürk Research Centre, Vol: 52/18, March 2012.

See online:<http://atam.gov.tr/ataturkun-ana-fikrini-verdigi-ilk-opera-ozsoy-destani/>

<sup>370</sup> Ayhan Erol, “Music, Power and Symbolic Violence,” *European Journal of Cultural Studies*, Vol: 15, issue: 1, (2012): p. 44, accessed April 15, 2013, URL: <http://ecs.sagepub.com/content/15/1/35.short>

this; first of all, a short account of the life of Reza Shah was presented. Following this, I examined how the decision to make a visit was made and the process of visitation until the border. For me, Husrev Gerede played an important role in this process. Lastly, I analyzed the 27 day visit by examining the interpretation of some of the media coverage about the meeting.

The second reason for undertaking this research was for the Ankara leg of the visit. To say more clearly, opera Özsoy appeared very interesting and important for me, since it was the first dubbed Turkish opera, which was composed, in a limited time. Besides I believe that, Özsoy might be the first opera which was shaped with the head of the state and an artist. In this opera Ataturk chose Shahname from one of the greatest poets of Iran, Firdausi. As it was mentioned previously his aim was to show the brotherhood and friendship that dated back from early times between Turkey and Iran. While he aimed to show them he preferred to use western style, which is opera.

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**THE RE-BIRTH OF AFRICAN MORAL TRADITIONS AS KEY TO THE  
DEVELOPMENT OF SUB-SAHARAN AFRICA: THE IGBO PARADIGM**

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**Abstract**

This work is set against the backdrop of the Sub-Saharan African environment observed to be morally degenerative. It judges that the level of decadence in the continent that could even amount to depravity could be blamed upon the disconnect between the present-day African and a moral tradition that has been swept under the carpet through history; this tradition being grounded upon a world view. World-view lies at the basis of the interpretation and operation of the world. It is the foundation of culture, religion, philosophy, morality and so forth; an attempt of humans to impose an order in which the human society works.<sup>1</sup> Most times when the African world-view is discussed, the Africa often thought of and represented is the Africa as before in which it is very likely to see religion and community feature as two basic characters of Africa from which morality can be sifted. In his popular work *Things Fall Apart*, Chinua Achebe had above all things shown that this old Africa has been replaced by a new breed and things cannot be the same again. In the first instance, the former African communalism in which the community was the primary beneficiary of individual wealth has been wrestled down by capitalism in which the individual is defined by the extent in which he accumulates surplus value. The African individual within the stress of the capitalist invasion lost the old community

morality and has been incapable of developing a third, the earlier two having eluded them; mired in the unfamiliar capitalist terrain, the corresponding society devoid of tribal, ethnic, kindred, clan and family ties which sustains communalism did not evolve. What remained is the imbalance between the capitalist system and communalist consciousness as there is the amalgam of western democratic society and citizens steeped in African tribal consciousness. In the second instance, religion which is another essential character of Africa is problematic. Africans have adopted a religion which completely excludes their ancestors, sacred institutions, persons and spaces. Yet the morality that could possibly be acquired via this new religion has been elusive of an African hold. Against this backdrop, the present writer thinks that the old African moral community has been lost in the morass of foreign ideologies that has plagued the continent from the 19<sup>th</sup> century. Why can't democracy be sustained, diseases and poverty eradicated, rocket technologies initiated, large industries and megacities constructed, maintained and sustained in Africa without foreign interventions? The simple explanation is that the African moral community once destroyed has not been reconstructed; moral ideas and institutions, moral persons and group of persons, moral situations and environment have been subjected to the jangling discord of their western models. The present work identifies Sub-Saharan Africa especially as morally impoverished; proffers reasons for such claims and establishes the grounds for the possibility of the reconstitution of a moral community which will serve as a springboard for sustainable development in the continent.

### **Synopsis**

A paper presentation that can be categorized as an advocacy for an African renaissance, which took into cognizance total breakdown in the functioning of the human

conscience; it recommended return to traditional morality through resuscitation and redefinition of the institutions which sustained them in the light of contemporary thought patterns.

**THE RE-BIRTH OF AFRICAN MORAL TRADITIONS AS KEY TO THE DEVELOPMENT OF SUB-SAHARAN AFRICA: THE IGBO PARADIGM**

Sub-Saharan Africa is made up of all the countries of West, Central, East and South Africa; numbering about forty-seven countries. It is the area of the largest concentration of black population in the world. This part of Africa bears the true colour, character and identity of Africa whenever and wherever that word is mentioned. At the same time it is the area worst hit by the historical scramble for Africa, the subsequent colonial and post-colonial influences and the pressure of globalization. The gaze of Sub-Saharan Africans through so many western machineries has been turned away from within the rich content of its environment and cultural evolution to the external inducement of attractive western definitions and patterns. Consequently, the former is mired in the contempt and agony of unfulfilled and unrealizable desires and tormented by the ugly sight of an abandoned project represented by their stagnant socio-economic, political, religious and moral environment. In more practical terms, more than three quarters of the African continent which fall within this territory under review are ravaged by wars, insurgencies, political turmoil, poverty, disease, corruption and so forth.

The present researcher is of the opinion that these anomalous situations are as a result of the abandonment and fossilization of African moral traditions and the adoption of a culture whose moral orientation could be understood in the African parlance as permissive, accommodating, indulgent and mollycoddling. Nevertheless instead of a

beneficial management of the open windows of this new morality, the African, most often, takes advantage of it for private or individual gains. For instance, Transparency International<sup>iii</sup> takes the indices of the level of corruption in various countries of the world each year. For 2014, thirty-five (35) out of the forty-seven (47) countries of Sub-Saharan Africa scored below 40% in a scale of 0 (highly corrupt) to 100 (very clean). Meanwhile this evaluation is based on the perceived level of public sector corruption. According to the report, “A poor score is likely a sign of widespread bribery, lack of punishment for corruption and public institutions that don’t respond to citizens’ needs.” This character should be foreign to Africa since such a situation as this will be contrary to communalist social ethos which holds supreme the good of the community. However, if we go by the 50% benchmark suggested by Transparent International as the score below which corruption is imputed, then we have forty-three acclaimed corrupt countries in Sub-Saharan Africa. According to Anthonia Soyngbe:

The major problem confronting Africa today is the general level of discipline and morality which over the years has given birth to pocket of vices in the continent. Gone are the days when morality and discipline used to be virtues. Today, it is the exact opposite.<sup>iii</sup>

This kind of worry has been raised at various levels and fields of academe with various solutions proffered. For instance, Yonah Matemba of the University of Glasgow, Scotland writing about his native land, Botswana had advocated for specialization in Moral Education as a prerequisite for qualifying to teach Moral Education.<sup>iv</sup> He was reviewing a clime where Moral Education is regarded as an offshoot of Religious Education with the danger of not considering the secular nature of the society and possibly laying down the

foundations where conflicting moral theories and principles may be the order of the day. The subtle lines threaded by Yonah Matemba is that Sub-Saharan Africa (Botswana) has become the harbinger of varying moral traditions especially that which is championed by the various religions that have made remarkable in-roads into that territory; insinuating that a single of such traditions may not be enough to educate the whole people in morality. He fears that doing that would mean setting varying and sometimes contradicting moral standards all at the same time. Even when his advocacy is heeded, the nature of this new secular morality is still worrisome because it is not just going to be foreign but may not connect to the African spirit or appeal to the African moral sensibilities and value. The present researcher thinks that in the midst of religious diversity and philosophical variations, the common area for interaction is African culture and tradition to which every African would easily connect. In this paper, we examine the moral situation in the Sub-Continent likes of which have been mentioned above, review some African moral traditions using especially Igbo paradigms and then recommend the re-birth of some which may still impact on the life of today's African peoples.

### **Western and Eastern Moral Traditions**

Moral traditions are patterns of moral judgements of human actions. As traditions, they may be expected to have the character of being handed on from generation to generation but it may not be so in the sphere of western morality. Segun Gbadegesin argues about acceptability or non-acceptability of that which is handed on, what is handed on and how it is handed on as making up the character of tradition.<sup>v</sup> To qualify to be tradition that which is handed on must be accepted. In this sense within this context about the west we will discuss moral currents or moral revolutions.

### ***Western Moral Currents***

Whenever western morality is discussed, it is viewed as a philosophical discipline as if there was no western morality before Socrates. The various Dialogues of Plato seem to impress that Socrates is at the inception of western ethics. Apparently nothing else can be said about western morality if cue is not taken from the teachings of Socrates. Although this philosopher had no writings credited to him, the much he was made known by Plato credits to him the statement: “An unexamined life is not worth living”. He was an avid promoter of critical thinking and moral reasoning. Remarkably, Socrates was accused by the state of corrupting the minds of youth, was convicted and sentenced to death by poisoning (he drank the hemlock). If this is the beginning of western morality, then western morality has always been a revolt against tradition and human actions based on reason. Plato furthered the explication of human rational capacities in his tripartite soul theory, the cosmology of a dualized world (forms and appearance) and the illustration of the allegory of the cave. Obviously in all these Plato posited human intellectual and rational ability as superior; relating to the world of forms which he understood as real but a chimera. He flawed the concrete world and sensible reality which he categorized as appearances and imitations. Aristotle widely reputed as the unfaithful student of Plato was drawn to practical wisdom and empirical inquiry; understanding the material-sensible world as real. He understood “practical wisdom (*phronesis*) as being necessary for deliberation about what is good and advantageous if people want to move toward their human purpose or desired end goal of happiness or well-being (*eudaimonia*)”.<sup>vi</sup> Nevertheless he remained faithful to Plato’s rational foundations deviating from his master only in the application and interpretation of the realms of existence.

Another defining moment in the development of western ethics is the medieval era its major exponent being Thomas Aquinas. The erudite saint extensively read and did elaborate commentaries on the Philosophy of Aristotle. Basically, Aquinas adopted Aristotle's idea that the end of life is happiness and saw to it that he taught humanity the path to that end. Again like his master, Aristotle, Aquinas held firmly the supremacy of reasoning whose purpose is to be applied in the practical areas of life to achieve happiness. The point of divergence between Aristotle and Aquinas is in identifying the end of human engagement in performing actions

Aristotle stresses our status as rational animals and describes the happy life rather broadly as "the life of activity expressing reason well." Aquinas, on the other hand, emphasizes our status as beings created by God; the point of the ethical life for Aquinas is, correspondingly, not just a life of flourishing rationality but, more specifically, a life of intimate union with God. Thus, while Aristotle is highly interested in moral education and character formation, Aquinas sees the deeper purpose of moral education and character formation as preparing us for union with God. Aristotle believes that having the right moral character is necessary for the flourishing human life, and that the right use of reason will show us what counts as the right sort of moral character. Aquinas believes that we are created in God's image, and that we flourish most when our likeness is closest to that image — that is, when we most closely resemble God in the ways appropriate to human beings.<sup>vii</sup>

Aquinas did not just add the God dimension to Aristotle's Ethics; he also introduced Jesus Christ and the Bible as principal elements of his practical wisdom. Unlike the ancient

Aristotelian morality which was cloned to the intellect then, medieval morality was closely related to religion.

In the modern period, Immanuel Kant made another giant stride in western moral philosophy. In series of critiques, Kant showcased the pre-eminence of the Will which he identified as the originating point of right human actions. Kant distinguished between heteronomous and autonomous will. Heteronomous will derives from extrinsic motivations and aims at personal satisfaction through hypothetical imperatives while autonomous will derives from intrinsic motivations and aims at universal good through categorical imperatives. In constituting the Categorical Imperative, Kant made this primal statement: “Always act in such a way that the maxim of your action can be willed as a universal law of humanity.”<sup>viii</sup> Kant’s will has been described as self-legislating and self-authenticating but Kant kept reason as the rudder which drives this individualizing and individuating self to universal good. Kant, like his predecessors, kept faith with the enduring tradition of western morality – the supremacy of reason though with Kant reason became so radically other and isolated others. At the same time it is clear that Kant was threading the delicate grounds of the dialectics between individual reasoning and collective good and that is where the Categorical Imperative and its understanding of Duty as the mode of every human action is of essence. Kant advocated that human beings should perform every action as a call to duty; not counting individual benefit. Good moral actions for Kant must be altruistic but at the same time rational. Kant walked the precincts of setting the will free from its medieval imprisonment in the territories of reason but it was Rene Descartes who first saw to it that the will is associated with the freedom of choice and that this freedom is unrestrained and unrestrainable.<sup>ix</sup> Subsequently the theme of “Will” was going to pervade

western thought: “Will to live” (Arthur Schopenhauer), “Will to Power” (Frederick Nietzsche) and so forth.

It was Nietzsche who brought western moral discourse to its apogee with his work: *On the Genealogy of Morality*. Here Nietzsche distinguished between Master and Slave morality; either of which corresponds to a positive or negative life situation and each driven by the will to power. Nietzsche subscribes neither to master nor slave morality because both do not operate like the free spirit. They are all held captive within their own normative boundaries.<sup>x</sup> Nietzsche opined that both the masters and the slaves were driven by resentment and hypocrisy. This way Nietzsche criticized and laid to final rest Jewish and Christian moral traditions seeking to replace them with the new order of the free spirit which he referred to as the *Übermann* possessing the *Über Mensch*. Thus western morality excluded God and religion, took hold of the world and operates it with free will.

***Oriental Moral Currents: Buddhism*** - the fundamentals of Buddhist morality was set down by Shakyamuni Siddhartha Gautama Buddha who may have lived between the 6<sup>th</sup> and 5<sup>th</sup> BCE. Not satisfied with stereotypes of Hindu spirituality, he sought enlightenment and founded a new mysticism built on prescriptive morality. The fundamental quest of the Buddha was how to deal with *Karma*. *Karma* is the interior principle that drives *Samsara*. Sometimes the west may understand *Karma* as a Hindu rendition of Greek *Nemesis*; it is rather an internal mechanism whose content is ignorance that brings about endless cycles of re-birth (*Samsara*) which itself is viewed as laden with chastening pain and fear. Enlightenment for the Buddha is the solution to *Karma* and *Samsara*. To achieve this, he preached the Four Noble Truths which included:

1. The truth of suffering (*Dukkha*)

2. The truth of the origin of suffering (*Samudāya*)
3. The truth of the cessation of suffering (*Nirodha*)
4. The truth of the path to the cessation of suffering (*Magga*)

According to Julia Hardy, “First, these are not truths that are noble, but truths that have been realized by the (spiritually) noble. They might more accurately be called four realities of life known to those who are spiritually aware.”<sup>xi</sup> The nature of the Four Noble Truths is that they are practical, real and static. According to V. F. Gunaratna:

Not only do these Four Truths form the heart and core of Buddhism, these Truths are also so far-reaching—touching life at every point, so encompassing, taking in every aspect of life, that no amount of thinking on them can ever be deemed sufficient or complete until such thinking reaches the level of a definite spiritual experience, as distinguished from a mere theoretical understanding of them.<sup>xii</sup>

It is within the fourth noble truth that the Buddha expounded on his morality which is represented in the Eight-fold Path. The Eight-fold Path is the expansion of *Magga* and the end of *Dukkha*. They are: *Samma Ditti* (Right View), *Samma Sankappa* (Right Intention), *Samma Vacha* (Right Speech), *Samma Kammanta* (Right Action), *Samma Ajiva* (Right Livelihood), *Samma Vayama* (Right Effort), *Samma Sati* (Right Mindfulness), *Samma Samadhi* (Right Concentration). This Eight-fold Path can be divided into three components: *Wisdom* (right view, right intention), *Moral discipline* (right speech, right action, right livelihood), *Concentration* (right effort, right mindfulness, right concentration). Apparently, Buddha’s prescriptive morality took on the semblance of the Jewish *Halakha* and boils down to an instrument of religion. As would be expected, the

morality of Buddha has fallen into heavy criticism especially by Arthur C. Danto in his work: *Mysticism and Morality: Oriental Thought and Moral Philosophy* (1987) where he contends that oriental morality has nothing to offer to western morality except for Confucianism. Danto thinks that Buddha's practical morality does not conform and cannot be subjected to rational principles and therefore does not take into account the fundamental human freedom of choice which is the hallmark of western morality.

Arthur C. Danto argues that necessary conditions on genuine morality include a robust notion of human moral agency and constraints that recognize that actions are praiseworthy (i.e., have positive moral worth) only if they are performed voluntarily, in accordance with explicitly moral rules, and out of a motive of concern for the moral worth and being of others.<sup>xiii</sup>

Buddhist morality is not a mental conformity to a rational process but a mental and physical involvement in a mystical rudiment through which the enlightened self emerges free from *Dukkha*, *Karma* and *Samsara*.

*Confucianism* made a paradigm shift from traditional Buddhist morality; it became more philosophical than religious. The founder of this oriental current is Kong Qui (551 – 479 BC) who famed as Kong Fuzi rendered in English as Confucius. He could properly be called an Oriental version of Socrates because he employed instruction as the means of disseminating his doctrines. His teachings are put together in *The Analects* which may have been collected by his immediate disciples, containing the anthology of brief passages which are the direct words of Confucius and his disciples.

The Analects, which is composed of about five hundred independent passages, is divided into twenty “books.” Some of these books seem to have originated as strips authored, over a period of years, by a single group, and separated into bundles according to dominant themes<sup>xiv</sup>

While Socrates’ was Dialectics which was written in the form of dialogue and aimed at sifting the best answers to ethical objections, Kong’s was Analects written in the form of monologue which is aimed at giving directions to human actions. The key concepts in Confucius moral teachings are: *Ren*, *Junzi*, *Dao*, *Li* and *Tian*. The primary ethical concept in Confucianism is *Li*. *Li* is a set of ritual propriety which seem to demand absolute and unquestioning conformity, though in some places, Confucius would seem to offer reasons as to the alteration or modification of *Li*. It appeals to tradition and culture handed on from immemorial times and aims at the enhancement of the life of society. According to Robert Eno, Confucius “identified “manliness” (or, in non-sexist terms, the qualities associated with constructive social leadership) with the firm disposition to place the needs and feelings of others and of the community before one’s own”.<sup>xv</sup> This manliness is the ability to undertake the demands of *Li* without question and hesitation as was his instruction to his disciple Yan Hui.<sup>xvi</sup> On the other hand, *Ren* is the most important concept in Confucian morality; it involves the active daily cultivation of character which evokes five basic virtues: seriousness, generosity, sincerity, diligence and kindness. Other ways of understanding *Ren* are benevolence, humaneness and goodness. Robert Waxman understands *Ren* as the highest level of achievement so much so that the achiever becomes a kind of role model. “An individual acquiring *Ren* is mastering the way of virtue, morality, compassion and love. This individual is reaching the highest levels of moral perfection in

a specific aspect of life.”<sup>xvii</sup> Just as Jesus Christ, Lao Tzu, Mohammed, Krishna are considered as possessing *Ren* so also are Michael Phelps, Tiger Woods, Serena Williams, Albert Einstein, John Paul II also possessors of *Ren*. Confucius rejected blind adherence to rules and advocated empathy and altruism towards others. These refer to actions by and on which the ideal of society is built. Nevertheless *Junzi* is the development of the profound individual who employs his mind both to study and understand. It is the *Junzi* who always manifests the quality of *Ren*. While *Junzi* is existential, *Dao* is ontological order of things. It contains both the way things are and the way things should be. These two aspects of *Dao* may be rendered essence and existence. Essence or the way things should be or being as it is may also be represented as *Tiandao* while existence or things the way they are in human experience may be represented as *Rendao*. Consequently *Dao* may be just transliterated as “The Way”.<sup>xviii</sup> *Tian* is the ultimate good in Confucianism. It is symbolized by the sky and translated especially by missionaries as God.<sup>xix</sup> *Tian* is the ideal good; elusive but accessible by *Junzi*.

It is important to note that western stereotypes which has always been used by its scholars to interpret other traditions makes it difficult for the profound understanding of philosophical and ethical traditions that does not conform to those stereotypes. This informs why Immanuel Kant pungently rejected Confucianism as having no philosophy to offer and no idea of the good.

Philosophy is not to be found in the whole Orient ... Their teacher Confucius teaches in his writings nothing outside a moral doctrine designed for the princes ...and offers examples of former Chinese princes ... But a concept of virtue and morality never entered the heads of the Chinese. In order to

arrive at an idea ... of the good [certain] studies would be required, of which [the Chinese] know nothing.<sup>xx</sup>

In spite of this, we should understand that the separation of entities as found in western ontology especially from the modern era is totally absent in Confucianism. The harmony in the various dimensions in moral consciousness in Confucianism was expressed by Jeffrey Richey thus:

Aware of its source in Tian, it seeks to maximize ren (co-humanity -- i.e., how humans ought to treat other humans) through apprenticeship to li (ritual) so as to exercise de (moral charisma) in a manner befitting a junzi (profound person -- i.e., the Confucian ideal).<sup>xxi</sup>

*Taoism or Daoism* could be understood as an offshoot of Confucianism and is based on the philosophical and political principles expounded in *Tao Te Ching (Dao de Jing)* purportedly written by Lao Tzu in the 4<sup>th</sup> or 3<sup>rd</sup> century BCE. Its focus is on *Dao*, “The Way” or “The Path”. Adherents of Taoism observe another version of the Confucian silver rule: “Treat others as you will want to be treated”; this is referred to as the way of the Tao. The most important Taoist ethical principle is *Wu Wei*. In the face value it may appear as lethargy, aloofness or indifference; it is rather non-action, apathy and passivity. It is based on the conviction that there is a greater good always found over above any present good. Taoism advocates internal and personal spontaneity in performing actions, aiming at greater good and placing the other first in all considerations. Livia Kohn laid much emphasis on good intention to achieve *Te Ching*<sup>xxii</sup> because community is supreme and the self is diminished; greater good for the greater number of people. The ten precepts of Taoism as reflected by Livia Kohn include:

- Do not kill but always be mindful of the host of living beings.
- Do not be lascivious or think depraved thoughts.
- Do not steal or receive unrighteous wealth.
- Do not cheat or misrepresent good and evil.
- Do not get intoxicated but always think of pure conduct.
- I will maintain harmony with my ancestors and family and never disregard my kin.
- When I see someone do a good deed, I will support him with joy and delight.
- When I see someone unfortunate, I will support him with dignity to recover good fortune.
- When someone comes to do me harm, I will not harbor thoughts of revenge.
- As long as all beings have not attained the Tao, I will not expect to do so myself.<sup>xxiii</sup>

*Tao Te Ching* is at least a hundred years older than Buddhism and Siddhartha may have read it before becoming Buddha. It merges the macrocosm and microcosm; the cosmos and the community; the individual and the society to create a harmonious unity.

### **African Moral Traditions- The Igbo Paradigm**

Here we explore the enduring trend in Igbo moral culture. The present researcher belongs to the school of thought that understands African Philosophy and Religion as homogeneous. However African homogeneity may not be understood from the particularities and specificities seen in the variety of cultures in Africa but with the fundamental and nucleic idea which interprets the universe; the overt and covert relationship between terrestrial and celestial bodies; the inter and intra relationship in the human community and the harmonious conviviality that preserves and endures (in) everything. Concepts can be seen in every individual African culture to depict this idea. Be

that as it may the present researcher appeals to six moral concepts found among the Igbo people of Nigeria to give the enduring moral traditions in Africa which once eroded sustains the culture of depravity, impunity and corruption in the continent.

### **Igbo Moral Categories**

*1. Ala:* This is the primary, primeval and principal category of morality among the Igbo. *Ala* is the earth; a physical manifestation of common humanity and the custodian of morality. *Ala* also symbolizes motherhood and fertility. The Igbo do not look to the sky or engage in an ascent to raise humanity to a transcendent height; they rather condescend to involve themselves with *Ala*. Simply put, in Igbo Morality one looks down not up. “*Anyaaala*” is a very common Igbo moral concept. Literally that idiom would translate “earth eye.” But that translation would be nonsensical to any Igbo. It rather expresses the fundamental principle of Igbo morality which advocates caution, diligence, knowledge, tact, gracefulness, respect and so on. On the other hand “*Anyaelu*” is an idiom that expresses negative morality – carelessness, indecency, ignorance, inarticulate, uncoordinated and so forth. *Ala* is earth but for the Igbo it is spirit, life-giving principle and moral finality. The earth is deified and the Igbo involve themselves with it to sanctify and preserve it in order to be protected and provided for by it. No Igbo would even dare to violate *Ala* because its wrath is unprecedented. The central place of *Ala* in Igbo morality is underscored by the connection of all traditional moral concepts to *Ala* (*Omenala*, *Nsoala*, *Iruala*). It is important to note that what the present writer is simply positing is that *Ala* is the aim, purpose and end of good life. To live a good life is to ensure the social, spiritual

and environmental health of the Igbo community without which there is no peace and tranquil for the Igbo person. Good life is for the good of the community.

2. *Ome*: This is the highest moral category among the Igbo and contains values and norms which aim at upholding, preserving, fostering and enhancing the life of the community. This community is peopled by the living and the dead. Crispinous Iteyo in analyzing Placide Tempel's view of the Lumba as regards the community of human persons wrote:

The ancestors constitute the most important chain, binding humans to God. They occupy an exalted rank, in that they are not regarded as the ordinary dead. They are, in Tempels' view, spiritualized beings, being higher on the ontological hierarchy, participating to a certain degree in the divine force. After the first fathers were the dead of the tribe, following their order of primogeniture. They according to Tempels formed a chain through which the forces of the elders exercised their vitalizing influence on the living generations.<sup>xxiv</sup>

*Ome* is of primordial origins; no Igbo can give its history because in every age *Ome* is Pre-existent. It is made up of all prescribed and acceptable actions aimed at the maintenance, sustenance and enhancement of the life of the community. These actions are normative, customary and traditional. *Ome* is made up of all good conducts that has been performed in the past, that are still being performed and that will always be performed; it is the reference pool of Igbo morality. The Igbo had no elaborate literary systems, so *Ome* is not preserved in any writing but it is encoded in the memory especially of the elders and are expressed in their everyday life through actions that imprints them in the mind of

younger Igbo or through occasional practical instruction. The Igbo do not go to school to learn good morals, they grow up in a moral environment imbibing and cultivating themselves in *Ome* which is everywhere. The concrete manifestation of *Ome* is *Omenala*. *Omenala* may translate as culture, norms, values and customs. Note that this word is made up of two important moral categories, *Ome* and *Ala*; it simply means the acceptable ways in which things should be done. While *Ome* stands for the collectivity of good conducts, *Ala* represents the location for the performance of good human actions. *Ome* is the moral instrument for the preservation and sustenance of *Ala*; it can sometimes be used as the principle of restoration of the sanctity, purity and dignity of *Ala*.

3. *Nso*: This concept is both metaphysical and moral. As metaphysical, *Nso* is the other side of being in Igbo duality; it is nothing as opposed to being. In morality *Nso* is made up of prohibitions or taboos which must be strictly avoided. Keeping away from or avoiding *Nso* certainly guaranteed the enhancement of life in the social and spiritual sphere. The *Dibia* who are the sages and human operators and sustainers of the Igbo world know too well that the fundamental principle of effective operation is: *I malu nso Chukwu; malu nso Ala, onwero ife I chelu aka ghalu ime ya* (If one knows and keeps faith to God's prohibitions; knows and keeps faith with the earth's prohibitions, nothing will be impossible to achieve).<sup>xxv</sup> This profound moral disposition of *Imanso* (knowledge of and keeping faith with prohibitions or outlaws) is not just *Dibia*'s prerogative or exclusive; every Igbo is taught so and expected to live so. In treating this subject matter, Emefie Ikenga Metuh seemed to have mixed-up two moral concepts, *Nso* and *Aru*. E. I. Metuh had averred:

The term *Nso*, forbidden, is used to describe offences which disrupt relations with the supernatural forces. Each deity and spirit has its set of *Nso* or taboos. The ancestors, too, have their *Nso*. The most serious among the *Nso* are *Nso Ala*, taboos of the Earth deity. These are believed to threaten the stability of society itself as well as that of nature, because the Igbo say that apart from the sky, everything else rests on the earth, the most heinous crimes against nature are the *Aru* or abominations. Some abominations are immoral acts, others include the acts of irrational beings; it is *Aru*, for example, for a hen to hatch just one egg.<sup>xxvi</sup>

To set the stage for the mix-up he again wrote:

This principle does not apply to certain categories of sins which threaten the ontological order, or *Nso*. The birth of twins is *nso*. It is *nso* for a child to cut its upper teeth first. Children guilty of these offences are thrown away or given to the *Nri* priests. It is *nso* if an animal gives birth to one of another species. Abortion is also an *nso*. These are evidence that the natural order has been disturbed and must be redressed.<sup>xxvii</sup>

The present researcher thinks that Emefie I. Metuh did not get it right here because in expressing the occurrence of these two phenomena among the Igbo the verb '*Mere*' is used. In the first instance the Igbo would say: "*O mere nso*" (he/she/it did *nso*); they may not say "*nso mere*" (*nso* happened/occurred). In the second instance, the Igbo can say both "*O mere aru*" (he/she/it committed *aru*) and "*aru mere*" (*aru* occurred/happened). This simply means that the verb "*Mere*" can be both transitive and intransitive; in the case of *Nso* only the intransitive form makes sense while in the case of *Aru* it can be both transitive

and intransitive. Therefore, the Igbo do not refer to the birth of twins, cutting of the upper teeth first, animal giving birth to another species and so forth as *Nso*, but *Aru*. It is only this way that one can make sense of the reaction or response of the Igbo to the situations of twin-birth and others like it. Again, it is not the child or the animal who committed the offence but that they are unfortunate channels through which a cosmic disharmony showed forth. It is true these are not the main contentious issues here, but deserves mention to place these moral concepts in perspective. Every *Nso* is in the final analysis *Nsoala*. This is the combination of *Nso* and *Ala*. In other words, it is *Ala* which is violated whenever there is a breach in the observance of taboos and prohibitions. Furthermore, *Nso* is a concept that underscores the Igbo world as basically a moral world. For instance, the efficacy of *Ogwu*<sup>xxviii</sup> is predicated upon the effective application of every *Nso* that relates to it. It then goes to say that any *Ogwu* without *Nso* cannot be effective; *Nso* must be such of ethical or moral value. However the word *Nso* has taken on entirely new meaning courtesy of the western missionaries to be “Holy”.

**4. *Aru*:** The word can be transliterated as abominations and anathemas. *Aru* is the nihilation or negation of being; it threatens the essence of life itself and cripples every movement and interconnections in the physical, moral and spiritual sphere. They are those human actions which are considered to distort the sacredness of the community life by making the earth on which everything stands profane and life-diminishing. They are crimes that threaten the ontological harmony of the Igbo world.<sup>xxix</sup> Actions that amount to *Aru* threatens the stability of the earth; the Igbo consider them as rocking the foundations of their empirical existence. In its practical expression, these nuances abound *Imeruala*, *Iruala*, *Uruala*, *Imearu*, *Aruruala* and sometimes *Arurugbada* or just *Aru*. Actions like

murder, theft, adultery are viewed as *Aru*; they attract sanctions which may include ostracism or expulsion from the community and the ritual cleansing of the land referred to as *Ikpuaru*. No one would ever want to be subjected to the ignominy and shame of the consequences *Aru* may bring. It is important to note that the situations and circumstances in which the actions that may amount to *Aru* took place contribute a lot to adjudging the crime so or otherwise.

5. *Njo*: *Njo* is the collective noun to express everything that could be referred to as *Ajoihe*<sup>xxx</sup> in the moral sense. *Njo* became convenient for the Catholic missionaries to transliterate ‘sin’; their protestant counterparts rather preferred the word “*Mmehie*”. May be the interest of the missionaries was to find a blanket word which could contain all the negative moral categories found in Igbo; *Njo* and *Mmehie* achieved that. Another way of rendering both are *Mmejo* and *Mmehie*; which will all mean mistake, offence, screwing-up, fault, falling short of the standard. These Igbo words are rather descriptive of the moral situation but are not exactly nominal of them. Again in no circumstance is this word connected to *Ala* which is the principal moral symbol in the culture. This absence is very important; it simply means that these concepts are incapable of sustaining any Igbo moral consciousness; a consciousness that derives from and is oriented towards *Ala*.

6. *Ofo na Ogu*: Many discussants of Igbo morality take on the principle of *Ofo na Ogu* as the central ethical concept of the Igbo. Christopher Ejizu<sup>xxxii</sup> recounts that an Nri myth of origins represented *Ofo* as the guiding light given to Eri and his wife Nnamaku<sup>xxxiii</sup> to help them navigate through the earth. The significance of *Ofo* has been severally represented by various authors – ancestral symbol,<sup>xxxiii</sup> spiritualized socio-political symbol of leadership, authority, truth and justice,<sup>xxxiv</sup> truth, justice and fairness,<sup>xxxv</sup> and so forth.

Remarkably all of these conceptualizations of *Ofo* point to the same things – *Ofo* is the one moral position or standing which gives the Igbo a firm footing in the world, a good standing with others and a connection to the ancestors of the land. It could be derived that the Igbo's is basically a moral world; moral consciousness is therefore the singular mode of living in that world. It is in lieu of this that John A. Umeh wrote:

Thus, religion to the traditional Igbo person, was not mainly once-in-seven-days show of dresses, trinkets, and public display of largely feigned piety, morality and ethics, but indeed an inseparable life of every Igbo man, woman, animals, plants, the elements and indeed all in the universe. And in sleep or while awake, that was Igbo life, the Igbo world, Igbo religion, Igbo socio-political practice, Igbo moralities and ethics. All these are encapsulated in the holistic principles of *Ofo na Ogu*.<sup>xxxvi</sup>

*Ogu* is the couplet of *Ofo*; they both go together and can be separated. *Ogu* is a moral state of being which presupposes ones flawless bond with nature and *Ala* in particular. *Ofo na Ogu* is the complete unimpaired expression of that moral state in which by being the best he/she can be, one is guaranteed the best of life and anything he/she may desire. *Ofo na Ogu* is the moral and spiritual disposition achieved through the observance of *Ome*, peace with *Ala* and avoidance of *Nso*, *Alu* and *Njo*.

### **An African perspective of Western Moral Currents**

In Africa today, it is western standards which determine moral judgments of human actions. To dominate African moral consciousness the west had to attack and efface these foundations in preference to a more rationalized and idealized tradition. It is important to note in the first place that the Western moral currents were founded on the initial revolt of

Socrates against traditional Greek morality; that revolt exalted the individual reason over above religious and community needs, regulations and recommendations. This same trend trailed further developments in that ethical history. On the other hand, African morality has no history; no living person knows why things are done one way and not the other way; things are rightfully done if they are done the way they have always been done and vice versa. Western moral consciousness will first of all instill the disposition of revolt on the African mind which looks on the moral environment with the desire of destroying it. Secondly, African morality is predicated upon religious and traditional instincts while western morality is predicated upon rational and ideological instincts. Taking on these new western instincts, the African questions the rationality and veracity of the old moral ways and may end-up destroying them because most times there may be no rational basis found.

Furthermore, since it is religious instincts which grounds morality in African life it is important to understand the religion which replaced the former traditional religion and the nature of its God besides. What remained of the Supreme Being through medieval metaphysics into modern ontology and contemporary anthropology of European Philosophy and culture was transported into Africa in the name of the Christian God. The being and existence; functions and operations of this God appealed more to the intellect of his adherents. While this God presents to be more or less a product of human reason, subjecting oneself under his influence became a rational process open to the choice of human beings. As at the time of his entrance into Africa very many Europeans have exercised the freedom of this choice to reject him. This God was said to have showed forth in the world as a human being, humbly born, over-powered by human beings and killed; condoned and contained some heinous crimes including those who murdered him in the

name of love and forgiveness. Sweet as the story of this God may sound, it does not most certainly appeal to African sensibilities. Various reviews of the reception of the Christian religion in Africa have shown that the first generation African Christians were lured into the religion by the excitement of new trends, promise of a better socio-economic life, greater belongingness in the new order of society and so forth more than the sense the religion or love for the God of that religion. From time to time they relapsed to the traditional religion because the gods and the system of that religion assured them more of the integrity and survival of the African moral universe. To the African mind this God would seem to compromise standards and permit evil; yet in the face of social, economic, mental and political pressure, the African was left with no much choice. If the African will be part of the world; the new order of human society that was inexorably closing in on him, then he must accept Christianity, understand and interpret it through the prism of his own religion. So, for the African, Christianity is a religion he attends but is not involved in. It is an extraneous reality to which he chooses or is mandated to go to and then goes back to his life which most times are not informed by the tenets of that religion. In Christianity, the religious environment does not extend beyond the Church, so the religion has very little if not nothing to do with the economic, social and political life of the African except at the level of rationalizing over their logical connections at times allotted to religious activities; being Christian at those levels is far-fetched.

Religion for the African has been an exercise in involving the gods to better human living. With Christianity which accompanied a socio-economic-political order which effectively achieved better conditions of human living, membership in it alone guaranteed the religious quest of the Africans. Meanwhile the gods and spirits of African Traditional

Religion are both subject to human will and open to human manipulation. In the Igbo version of that religion, it is said: “*Ikenga m adighi ire m suo ya oku*” (If my *Ikenga*<sup>xxvii</sup> is not potent, I will set it on fire). Somehow in as much as *Ikenga* is a spiritual reality, it is human beings who constitute its effective and material cause. As would be expected, the spirits of Christianity at the Igbo disposal may stand the danger of the predicament of *Ikenga*. This explains why the Igbo could engage in the most heinous crime even when faced with the holiest of Christian imageries or symbols. Again, it is true that Christianity adopted the idea of *Chukwu* to show the Igbo the nature of the God it preached, at the same time the Christian version of *Chukwu* presented a comfortable proximity to the Igbo mind that he stands the danger of being caused and manipulated. Christianity also armed the Igbo and African with potent tools to take on this God and manipulate him (Bible, Sacraments, Sacramental and sacred spaces). Lastly, the Christian God does appear to compromise in the moral sphere and permit moral evil. Otherwise he offers very easy and affordable remedies to situations of infringements in the moral order. However, if these African perspectives of Christianity and the Christian God could be reversed, it is only reason which can attend to that. Unfortunately, reason alone is incapable of setting the African practical world in motion.

### **The consequences of this African Perspective**

Western civilization is in the character of isolating entities that make up the world. Isolated things in the western world relate in a logical sequence or rational coherence and not by concrete and material connections. As a result of this, morality isolated from other aspects of human life relates to those other aspects of human life by logic and reason. In African cosmological thought-pattern isolation is expressed by the number ‘One’. The

number 'One' is dumb, immobile, incapable of relationship and open to manipulation. Not only morality, but all other entities of the world isolated as they are in the western thought-pattern open themselves to manipulation in the African world. Once through western paradigms all aspects of the African world existed independent of others, there arose the possibility of isolation *ad intra* of particular spheres. For instance, the western paradigm isolated morality from religion and from the community. Consequent upon this, morality has no content, is non-relational and is totally incapable of impressing the African mind. Furthermore consequences of moral infringements were lightened and bearable that the African mind can undertake the risks of their consequences and go ahead to renege on them. Western individualization and isolation of entities necessarily gave rise to the capitalist structure in the social order; totally uprooted from the foundation of his being and existence, western moral orientation made of the African a rolling stone that gathers no moss.

The present researcher simply makes the case that there are two moments in the discussion of western morality. The first is represented by the Socratic beginnings captured in this work as revolt. To realize his full moral potentials, the western mind should break the circle of established ethics, norms and values to construct a state of being through a rational process. That revolt impinges on the supremacy and domination of society to project the individual who assumes the status of lord and master of nature. The second is represented by Kantian perfection captured in this work as reason. Kant takes on the individual who reasons by default; he rationalizes himself into the duty of making his own laws and obeying them; stating the ground of his individual authentication. The ultimate implication of all these is that imbibing this revolutionary and rational tradition, the African

moral universe has been impaired and greatly flawed. The gods, spirits and symbols of morality have been overthrown and the moral institutions disintegrated. In the midst of this morass, the African stands before the danger of being regulated by nothing, respecting nothing, caring about nothing and understanding human actions as having no fatal consequences provided it conforms to the logical designs of its own individual reason.

### **Intercultural rebirth of African Moral traditions in western ethical schemes**

From the on-going we make out the judgment that the western rational traditions has wrestled down African practical traditions in morality and many other aspects of human life. We also made the case that African environment is not better for all these are worth. Corruption and impunity which has characterized governance and administration in the public sector of many African nations can be blamed on the destruction of the African moral environment and the various institutions that sustained it. While western morality is a product of studied and reasoned concepts and ideologies in a coherent logical pattern, African morality is a product of practical engagement with the environment and in the institutions of that environment through age long and immemorial tradition. While these two appear diametrically opposed in orientation and purpose, the present writer seeks the meeting point of their complementarity.

Christianity and western civilization has had its toll on Africa and has come to stay. The new consciousness they brought on board is not opposed to doing good and being dedicated to it. Everywhere in the world it seems that it is in the DNA of the black race to take and maintain the place of the child of the world. Though we know that it has not always been so in history, yet we have to seek out why it is so now and what could be done about it for Africa to come to maturity and stand at par among other nations of the world.

As it were the African spiritual world peopled by human beings and spirits, operated by energies and forces, where animate and inanimate things are living and capable of motion; moral world where every singular action is a link in a chain of community bond and ancestral/spiritual connection which may not all the time conform to reason should at the same time connect with western world view and patterns. Already a greater majority of Africans have been born into, trained in and imbued with western consciousness and world view. It is important to note that these Africans have not been fair and true to African traditions. They may not be blamed in a sense that in the scheme of Christianizing and westernizing them they had first of all to rid themselves of mental and spiritual connection to Africa. Again this is because the agents of that exercise approached Africa with a stereotyped model of social order, civilization, science and technology armed with western education and Christianity as hammers to knock Africa into that shape.

It is time for Africans to develop a new hermeneutical approach which the present writer couches as a 'Participatory Phenomenology'. In this approach, the student is not different from the object of study. The content of the new hermeneutics should be passionate accounts of personal involvement with the African moral environment through the old institutions. In practical terms taking the Igbo paradigm again, *Otuogbo* (the age grade systems), *Nze na Ozo* (the nobility cult), *Otundichie* (the ancestral cult), *Mmonwu* (the spiritual cult), *Umuada/Umuokpu* (female prestigious cult) and many others should be revived with elite participation. The present researcher does not think that these are opposed to western civilization and Christianity but only constitute the background for their re-interpretation. The African consciousness need to be woken from its morbid and fossil state even as Africans are constrained to interact with the new world order and

contemporary globalizing human consciousness. These institutions must be at the background of the design and conjecture of African democracy, education, Christianity and so forth.

### **Conclusion**

The former classification of the third world included China, Japan, India, Singapore, Dubai, Malaysia; today it is no longer so. These countries have been worked and are being worked up to take over the former first world and dominate it economically, ideologically, politically and technologically. This mega feat was not achieved by increasing the quantum of western consciousness and civilization. Each of these countries had successfully separated the junks from the nourishers, looked inward to rediscover their indigenous institutions to connect with their national spirit to build a new consciousness and confidence that can only be locally effective. An African development cannot be invented in an American laboratory; it cannot be designed on a Asian drawing board. An African development must be interiorly and integrally African. This development is not about social amenities and infrastructure; it is about culture and structure which exists and can be found in the African environment, by Africans and for Africa. Born through the auspices and trained in the western anthologies of African exploitation, Africans having assumed the role of lords and masters became the exploiters and destroyers of Africa. This work has recommended a new hermeneutics in which Africa should not be just a land of rich minerals and vegetation; a beautiful continent of diverse cultural heritage and hundreds of languages. Africa should also be a moral and spiritual universe in which the community

is the primary living organism where every individual person is distinguished in the performance of only those human action which enhance the life of the community and where actions that impair, impede, threaten or diminish community life attract mortal consequences. Evidently that is also what Africa used to stand for. In the exercise of re-birth, the present writer also advocates for the further studies of African institutions which sustained the former moral universe with a methodology represented in this work as 'Participatory Phenomenology'. In simple terms while western phenomenology studies and interacts with elements under study by isolating them from other entities and creating an artificial environment for them to show-forth in and of themselves, African participatory phenomenology involves itself with the object of study in its very natural habitat and reports back personal experience and relationship. There is need for Africans to re-discover Africa by their active participation with and in Africa and to re-interpret Africa in their own African terms.

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“*Ogwu*” is a complex concept in Igbo Philosophy and culture; it at the same time stands for potions, magic, sorcery and indeed everything that can effectively affect nature and bring about alternate reality. *Ogwu* the main business of the *Dibia* especially *Dibiaogwu*.

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*Ikenga* is one of the principal deities of Igbo Traditional Religion. It is a horned deity that represented and guaranteed manliness and prosperity; held by any full grown and matured adult especially those intensely engaged with life. It is the force through which the Igbo penetrates the most difficult and challenging terrains of life

**DOES THE AWARENESS OF COMPETITION EFFECT ON FIRM  
PERFORMANCE: A SURVEY ON TURKISH SENIOR MANAGERS**

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**Abstract**

The purpose of this research is to introduce awareness of competition and this phenomenon's theoretical and empirical bases as a new and alternative way to increase company profitability, and to examine its effect on firms performance. A scale was developed to measure the awareness of competition level of top management teams and a survey was conducted with the participation of 380 managers. Findings from the analysis shown that a positive correlation between the firm performance and the instinct for benefiting from the opportunities, strategic vigilance, motivation for competition, competitive market information that are dimensions of awareness of competition.

**Keywords:** Awareness of competition, competition, management, firm performance and profitability.

**1. What is Awareness of Competition**

The literature review for awareness of competition shown that there are few studies on the concept and therefore it can say that the concept is not clearly defined. The concept of awareness of competition was first introduced in "The economic strategy for environmental quality" in 1973 by Baroutsis Horton. Subsequently, Kelly and Booth (2004) have also used the term in a similar manner but unfortunately they handled the subject groundling. In fact, it is possible to say that a concept like this represents a new phenomenon for the management literature.

Baroutsis and Horton (1973:67) assigned the feature of the awareness of competition directly to individual businessmen as a cognitive ability that enables them to gain a competitive advantage. According to the researchers, if a businessman is not able to take advantage of these opportunities, his competitors would have an edge over, therefore it would cause them to overcut the price of their product in the market, eventually bereaving his customers and debar from his and his saffs' means of living. Baroutsis and Horton put

forward that the thing what being motivated firms is awareness of competition which encourages companies to provide the lowest costs, to research the more efficient methods and procedures, to make innovations, to produce the more advanced products.

Similarly, Kelly and Booth (2004:9) also handled awareness of competition as an intellectual capability for senior managers. Because according to them the firms which spurning to competitors and riposte their competitive business strategies, particularly competitive threats, be aware of market commonality and resource similarity.

It was determined that other resources about awareness of competition was not mostly discussed as an individual talent that managers should have. It is possible to see that there were two different perspectives at this subject. These resources treated awareness of competition in terms of macro (economic) and micro (intra-organizational competition) dimensions.

## **2. Components of Awareness of Competition**

Based on the views of awareness of competition as an individual property and the micro aspects, it is possible to determine some common characteristics of awareness of competition as follows.

### **2.1. The instinct of benefiting from opportunities**

When the senior management team is determining the corporate strategies, environmental threats and opportunities needs to be compared with company's internal weaknesses and strengths. This comparison sheds light to strategical decision making progress and also the ability to determine these environmental components and legitimately has a crucial impact on the apparent success of the strategy. In order to maintain a competitive edge against competitors, a company needs to be able to take advantage of current circumstances and convert the threats to opportunities. At this point, we come across the instinct to take advantage of opportunities. This can be defined specifically as a managerial or entrepreneurial trait.

### **2.2 Strategic Vigilance**

In order to achieve and maintain a competitive advantage over the competitors, companies are compelled to come up with unique or differentiated products or lower the costs of their production (Montgomery and Porter, 1990: xv).

#### **2.2.1. The Ability to Recognize Competitor's Opportunities and Advantages**

No matter how successful a company is, they should always consider the fact that the competitors are unpredictable and in such cases, they will need to counter their competitor's moves in order to manage long term sustainability. Every firm that wants to maintain an edge of competition over the competitors would seek a way to get consumers preferring their own product. Based on that, research and development activities have crucial impact on product development. Successful companies are aware of the fact that any innovation or uniqueness of their product will enable them to enhance their service and quality and help them have superiority over the competition.

### **2.2.2. Being Conscious of the Possibility of Losing Customers if the Competitors Reduce the Cost of their Product**

Another way to a gain competitive advantage in the market place is to lower the cost of the manufactured products which can be seen as the main concern of customers. It is possible to see the tendency of consumers is to pay the least amount in return for good quality products. For that reason, the decision making progress usually leads to the consumer choosing the most competitively priced product out of those of similar quality. Thus, companies that are manufacturing products with same features and lowest pricing policy would damage their competitor's customer base.

### **2.2.3. Being Aware of the Prospect of Loss of Income throughout the Company Resulting from a Lack of Demand**

Companies are meeting their basic needs with the income earned. These requirements are primarily the production costs, this is also reflected in the pricing policy of the product. On the other hand, another crucial expenditure that is commonly damaging the financial situation of the company is the employee salaries. Although the employees are not willing to work under a certain amount of income, they are also expecting to obtain the best payment option there is. From this point of view, the efforts to garner as high an income as possible is not only the tendency for company owners, but also for employees who play an important role in all activities. On that front customers are the central source of income for every company. If a company manages to increase their customer base, the income and payments to employees would increase accordingly.

## **2.3. Motivation for competition**

Every company would have the tendency to sustain their competitive advantage over the competitors, by producing goods while achieving the lowest costs. One of the problems with lowest production costs is the problems that might occur with the quality, so it is expected from the companies to maintain the international quality standards.

As Tully (2011:128) argued, one of the most effective ways to lower production costs is to lower the profits too, in other words, sacrificing a portion of the profits. However, this situation might be risky in terms of cost engineering. Thus, the most reasonable solution for companies would be the production of an equivalent new product, but less expensively produced and sold for the customers who are not able to afford the actual product.

#### **2.4. Competitive market information**

As it is stated by Kelly and Booth (2004:9) and later by Chen (1996), it is possible to say that the awareness of competition is directly linked to “market commonality” and “resource similarity” and how these factors affect the competitive responses of firms.

Based on Hitt et al. (2013) and Chen’s (1996) researches, these terms can be explained as below;

##### **2.4.1. Market commonality**

Chen (1996:106-107) has preferred to use “multiple-point competition” in order to explain market commonality. According to his research, the theme of multiple –point competition is measured by the average number of markets that a firm competes with all of their rivals, excluding the main market they operate. This is also expressed as multimarket contact. Chen’s research states that market commonality can be defined as the level of existence a firm reaches once it has managed to outgrow the main firm already in that market. It is possible to say that the existing firms capacity to compete with the main firm in market, depends on their strategic strength and endurance.

##### **2.4.2. Resource similarity**

According to Hitt et al. (2013:38) the resource similarity can be defined as: the comparison of a company’s physical and non-material resources in terms of type and quantity against their competitors. In accordance with this view, companies that have similar type and quantity of resources would suffer from comparable weaknesses as well as using alike strategies based on their similar strengths. Such examples stated by Hitt et

al., (2007:142) showed the similarities of the strategic business plans of companies with similar resources, such as FedEx and United Parcel Service. These companies were comparable in their ability to use information technologies, increasing the effectiveness of service quality and finding the most effective low cost service opportunities.

### **3. Methodology**

In this section details of; type and samples of the research, how the data was obtained, and the program that has been used to analyse the data were covered.

#### **3.1. Purpose of the Research and Hypotheses**

The main purpose of this study is to introduce awareness of competition as a new concept to the management literature; constitute the theoretical background and provide empirical research findings in order to support hypotheses suggested in this research. Thus, this research is aiming to present a new insight to the companies in order to improve profits as well as maintain their competitive advantage over their competitors.

The hypotheses developed to represent the purpose of this study are as follows;

H1: There is a substantive relationship between awareness of competition on an individual level and firm performance.

H2: The instinct to benefit from opportunities has a significant and positive impact on firm performance.

H3: Strategic vigilance of individuals has a significant and positive impact on firm performance.

H4: Individual's motivation for competition has a significant and positive impact on firm performance.

H5: Individual's knowledge of competitive market information has a significant and positive impact on firm performance.

#### **3.2. Developing the Data Gathering Tools**

In order to represent empirical evidence for awareness of competition, a scale was developed based on the information provided by the theoretical framework for this research. This scale was formed on four aspects of awareness of competition; the instinct to benefit from opportunities, strategic vigilance, motivation for competition, competitive market information. However, the scale that was developed for this research has never been used before. For that reason the scale was used in a pilot study prior to the research. The

study was conducted on 40 company managers operating in Afyon. The purpose of the pilot study carried out is to gather information and measure the credibility and validity of the scale based on individual's responses. The data obtained from this study was analysed with the SPSS 20 program and some items which were believed to decrease the reliability of the scale were removed or replaced with new questions to refactor the scale.

On the revised awareness of competition scale survey (ACS), all queries were formed in a positive way. The given responses were structured as a multiple choice; completely false (1), mostly false (2), neither true nor false (3), mostly true (4), completely true (5). The answers are assigned a score, as shown by the corresponding bracketed number.

The lowest possible score obtained from the scale is equal to be the number of the items on the scale, 31 completely false responses. At the other end of the scale, the highest score that can be achieved on the survey is 155 points, which is 31 'completely true' responses. Furthermore, questions from 1-6 were aiming to measure the instinct of benefiting from opportunities; questions from 7-15 were aiming to measure strategic vigilance; questions from 16-23 were aiming to measure motivation for competition; and the questions from 24-31 were aiming to measure knowledge of competitive market information of the participants.

In order to measure the firm performance, a scale developed by Naktiyok (2004:242) was presented to senior management teams. This scale has multiple choice answers to a set of questions such as "outstanding compared to competitors" (in the segment of first 20% in their sector) (1); "above average compared to competitors" (in the segment of 21%-40) (2); "average in relation to competitors" (in the segment of 41%-60%) (3); "below average compared to competitors" (in the segment of 61%-80%) (4); and "very poor compared to competitors" (in segment of the last 20% in their sector) (5).

The highest and lowest score obtained from the scale is measured by the number of the items on the scale. The highest answer is awarded 5 points making the maximum possible score 25 and the lowest score is the number of the items.

### **3.3. Sample Size and Methods Used to Analyse the Data**

In order to determine the direction and the strength of the relationship between senior manager's awareness of competition and firm performance, a representative group

from companies operating in capital of Turkey, Ankara, in organized industrial site were queried for this survey. From this block totalling 2300 companies, 329 companies were selected to be included in this research (Sample Size Calculator, 2015). 415 questionnaires were presented to the senior managers. A small portion of the questionnaires were eliminated as not adequately complete, resulting in 380 suitable completed questionnaires for analysis.

The data gathered was analysed by the SPSS 20 Lisrel 8.8 program. In order to determine the validity and the reliability of the scales used in this research, and to assign the Cronbach's alpha coefficient, the Exploratory Factor Analysis (EFA) method was used. EFA analysis is intended to explore the structure of the factors measured by the scale rather than examining the hypothesis (Tavsancıl, 2006). In addition, the Bartlett Sphericity test is calculated to determine the validity and the adequacy of the data that was used.

To measure the relationship between senior managers awareness of competition and firm performance, structural equation modelling was used. The impact of awareness of competition on firm performance was investigated via potential variables. The relationship between awareness of competition and performance variables was explained with a comparative model.

## **4. Findings**

### **4.1. Findings about the Reliability of the Scale**

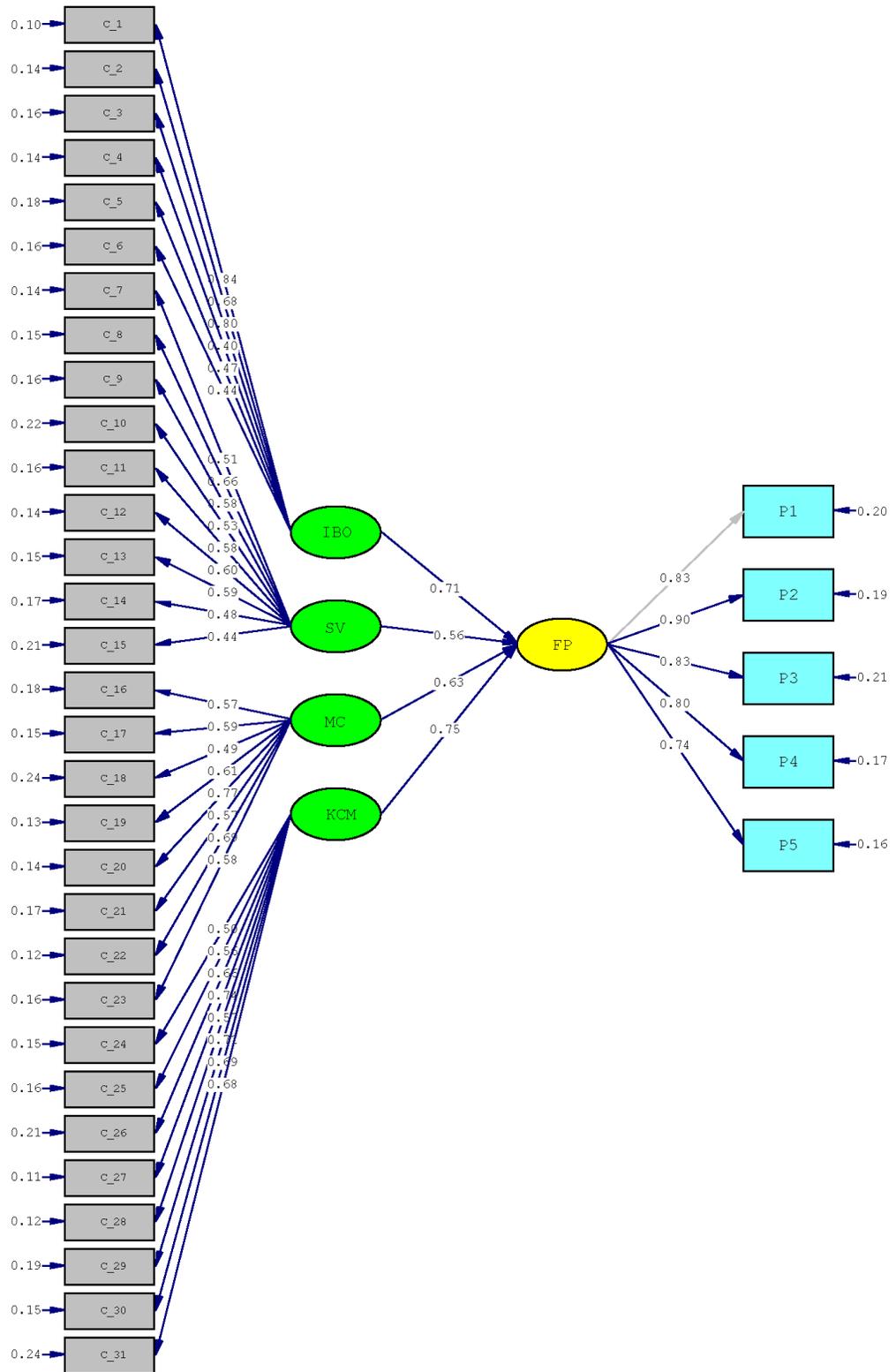
It is possible to say from reliability analysis that the consistency coefficient (Cronbach alpha) for the 31 items on the awareness of competition scale was determined to be 0,843. On the other hand, exploring the reliability values for sub aspects of awareness of competition, the Cronbach alpha coefficient for "the instinct for benefiting from opportunities" was determined to be 0,764; Cronbach alpha coefficient for "strategic vigilance" was determined to be 0,802; Cronbach alpha coefficient for "motivation for competition" was determined to be 0,737; Cronbach alpha coefficient for "competitive market knowledge" was determined to be 0,857.

Moving to the firm performance scale, the Cronbach alpha coefficient for the total value for 5 items on the scale was determined to be 0,911. Considering the fact that the average Cronbach alpha coefficient value is accepted to be 0,70 (Morgan, 2004:122); both of the scales were found to be highly reliable.

#### **4.2. Findings about the Structural Equation Modelling Analysis**

Structural Equation Modelling (SEM) was used in order to analyse the data gathered for this research. Structural Equation Modelling is a comprehensive statistical method that examines the causative relationship between observed and unobserved variables. The SEM method presumes a causation relationship between latent variables and that the latent variables can be determined and measured via observed variables. Tavsancil (2006:125-130) argued that latent variables such as intelligence, interest, emotions and manners can only be observed indirectly via behavioural patterns or via a particular set of measurement systems. According to Tavsancil (2006:125-130) since latent variables cannot be directly observed, they can only be explained with observed variables that are believed to be associated with the model. Applying the SEM to this research's hypotheses allowed a model to be established. This model uses indicators from an explanatory structure that focuses on the four aspects of awareness of competition as a latent variable and firm performance as an observable variable (Simsek, 2007). At this stage, the established model was explained via fit indices. Furthermore, this model presents the relationship between different aspects of awareness of competition and firm performance separately. Thus, awareness of competition as a latent variable revealed by the different sub-aspects and its relationship with the firm performance variable can be described structurally.

At the end of all the analysis, the structural relationship between awareness of competition and firm performance is represented on Figure 1.



Chi-Square=1710.222, df=588, P-value=0.00000, RMSEA=0.071

**Figure 1:** Structural Equation Model between Awareness of Competition and Firm Performance

**Table 1. The Table of Evaluation of the Fit Index**

Fit Index	Fi	Perfect Fit	Moderate Fit	Model	Result
RMSEA	R	$0 < RMSEA < 0,05$	$0,05 \leq RMSEA \leq 0,10$	0,071	Moderate Fit
CFI	C	$0,97 \leq CFI \leq 1$	$0,95 \leq CFI \leq 0,97$	0,97	Perfect Fit
GFI	G	$0,95 \leq GFI \leq 1$	$0,90 \leq GFI \leq 0,95$	0,95	Perfect Fit
AGFI	A	$0,90 \leq AGFI \leq 1$	$0,85 \leq AGFI \leq 0,90$	0,97	Perfect Fit
NFI	N	$0,95 \leq NFI \leq 1$	$0,90 \leq NFI \leq 0,95$	0,95	Perfect Fit
NNFI	N	$0,97 \leq NNFI \leq 1$	$0,95 \leq NNFI \leq 0,97$	0,96	Moderate Fit

The model established from the analysis and how it is related to this research's hypothesis is explained below;

***H1: There is a substantive relationship between awareness of competition on an individual level and firm performance.***

In the established model, the chi-square value is found to be  $\chi^2 = 1710,222$ ,  $sd = 588$ ,  $p = 0,000$  and RMSEA value is found to be 0,071. According to the fit index presented above, the structural equation model was found moderate fit (RMSEA= 0,071). In other words, an individual's instinct to benefit from opportunities, strategic vigilance, motivation for competition and competitive market information is linked to the model that has been founded between presumed awareness of competition and firm performance. This makes

the model statistically meaningful. Thus, based on this model the relationship between awareness of competition and performance can be identified on sub levels and factors.

***H2: The instinct to benefit from opportunities has a significant and positive impact on firm performance.***

As shown in Figure 5, the coefficient values of variables between the instinct to benefit from opportunities and performance was proved to be 0,71. One unit increase on the instinct to benefit from opportunities variable gives an equivalent 0,71 percent increase in firm performance. This coefficient is positively correlated and statistically significant at 0.05 level. Based on this coefficient level it is possible to say that an increase on the instinct to benefit from opportunities would also mean an increase in firm performance. Similarly a decrease on the instinct to benefit from opportunities would cause a decrease in firm performance.

***H3: Strategic vigilance of individuals has a significant and positive impact on firm performance.***

As shown in Figure 5, the coefficient values of variables between the strategic vigilance and firm performance was proved to be 0,56. This finding would imply that one unit increase in strategic vigilance is also an increase of 0,56 percent in firm performance. This coefficient is positively correlated and statistically significant at 0,05 level. Based on this coefficient level it is possible to say that an increase on the strategic vigilance would also mean an increase in firm performance. Similarly a decrease on strategic vigilance would cause a decrease on firm performance.

***H4: Individual's motivation for competition has a significant and positive impact on firm performance.***

As shown in Figure 5, the coefficient values of variables between the motivation for competition and firm performance was presumed to be 0,63. This finding would imply that one unit increase on motivation for competition is also an increase of 0,63 percent on firm performance. This coefficient is positively correlated and statistically significant at 0,05 level. Based on this coefficient level, it is possible to say that an increase on the motivation for competition would also mean and increase on firm performance. Similarly a decrease on motivation for competition would cause a decrease on firm performance.

***H5: Individual's knowledge of competitive market information has a significant and positive impact on firm performance.***

As it is shown on Figure 5, the coefficient values of variables between the competitive market information and firm performance was presumed to be 0,75. This finding would imply that one unit increase on competitive market information is also an increase of 0,75 percent on firm performance. This coefficient is positively correlated and statistically significant at 0,05 level. Based on this coefficient level, it is possible to say that an increase on competitive market information would also mean an increase on firm performance. Similarly, a decrease on competitive market information would cause a decrease on firm performance.

## **5. Conclusions**

Gaining a competitive advantage over competitors in order to increase profitability and manage sustainable growth has been the primary purpose of organizations and has influenced a great amount of academic researches for decades. Within the rapidly changing turbulent business environment, companies are facing intense competition and increasing numbers of strong competitors. Furthermore, global competition is also prevalent with the extensiveness of globalization, which has also enabled the increased attention of human capital.

The main purpose of this study was to explore how an individual's awareness of competition that is taking place in the external environment effects their management decisions. In order to determine if such a relationship between awareness of competition and firm performance exists, a theoretical background for awareness of competition was explored and components of such a concept were determined. Afterwards, a research tool developed via the theory was conducted on senior management teams of 380 companies.

The reliability analysis performed on the scale that was developed to measure awareness of competition found the scale to be reliable, based on the Cronbach Alpha coefficient (0,843). In order to determine the validity of the scale, exploratory analysis conducted proved that the scale possesses the coefficient values for validity.

A Structural Equation Model was established during the final stage of this research. In order to determine the relationship between the different components of awareness of competition such as the instinct to benefit from opportunities, strategic vigilance,

motivation for competition and competitive market information, a structural model was founded. The model was explained by using the fit index and the values were found to be statistically significant ( $p=0,000$ ) and accurate ( $RMSEA=0,071$ ). According to this model, a substantial and positive relationship was found between firm performance and the different aspects of awareness of competition such as the instinct of benefiting from opportunities (0,71), strategic vigilance (0,56), motivation for competition (0,63) and competitive market information (0,75). Based on these outcomes, it is possible to say that there is a strong positive correlation between the instinct to benefit from opportunities, strategic vigilance, motivation for competition and competitive market information.

The theoretical and empirical findings of this research are hoped to be used as a baseline to be expanded upon in the future. This will provide a new concept of appreciation for companies.

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## DÜNYA ÖRNEKLERİNDEN ÖNERİLERLE VERGİ UYUŞMAZLIKLARININ ÇÖZÜMÜNDE TÜRKİYE'DE MÜKELLEF HAKLARI

Prof. Dr. Ersan ÖZ\*

Arş. Gör. Davut BUZKIRAN\*\*

### ÖZET

Vergi, devletin ya da yetki verdiği kamu tüzel kişilerinin kamu giderlerini karşılamak üzere egemenlik gücüne dayanarak vatandaşlarından cebri ve karşılıksız olarak topladığı parasal değer olarak tanımlanabilir. Vergi, Anayasanın siyasal haklar ve ödevler isimli dördüncü bölümü içerisinde vergi ödevi başlıklı 73. maddesinde çerçevesi belirlenmiş bir yetki ve ödev olarak karşımıza çıkmaktadır.

Vergilendirme yetkisi devletin ülkesi üzerinde egemenlik gücüne dayanarak, vergi alma konusunda sahip olduğu hukuki ve fiili güçtür. Dar anlamda vergilendirme yetkisi yalnızca vergi koyma gücünü ifade ederken, geniş anlamda vergilendirme yetkisi her türlü mali yükümlendirmeye ilişkin yetkiyi ifade etmektedir.

Vergi ödevlisi durumundaki vatandaş yani mükellef, Vergi Usul Kanunu'nun 8. maddesinde: mükellef, vergi kanunlarına göre kendisine vergi borcu terettüb ( ödev olarak üzerine düşen) eden gerçek veya tüzel kişidir şeklinde tanımlanmıştır<sup>xxxvii</sup>. Kanundaki tanımda yer alan vergi borcu kavramı ise tarh olunan vergiyi ödemenin (maddi ödev) yanında, defter tutmak, beyanname vermek bildirimde bulunmak, belgeleri saklama ve ibraz etme gibi (şekli ödev) çeşitli yükümlülükleri ifade etmektedir.

Vergilendirme işlemi sırasında devlet ve vatandaş (mükellef arasında) tarafların eşit olmadığı dikey bir hukuki ilişki kurulmaktadır. Devlet bu ilişkide kamu gücünü kullanmaktadır. Vergi hukuku ilişkisinde yükümlü ile devlet arasındaki çıkar dengesinin kurulması ve korunması önem kazanmaktadır. Bu bağlamda vergi mükellefine yüklenen ödevlerin yanında bazı hakların da verilmesi gerekmektedir. Bu bağlamda mükellef hakları, anayasa, sözleşme, yasa gibi asli ve diğer tali kaynaklar aracılığıyla hukukun vergi mükellefine tanıdığı, mükellefin devletten, vergilendirme yetkisi çerçevesinde vergi hukuku kurallarını yaratırken veya uygularken, bir şey yapmasını veya yapmamasını talep edebileceği yetkilerdir. Aynı zamanda, bu haklar olumlu ve olumsuz taleplerde bulunma

yetkisinin yanında bu yetki ihlal edildiğinde hukuki koruma sađlayan haklardır. Bununla birlikte mükellef hakları, yalnızca vergi ilişkisi ve onu düzenleyen mevzuattan kaynaklanan hakların ötesinde gerek genel hukuk sisteminde var olan temel insan haklarından kaynaklanan; gerekse anayasa, uluslararası anlaşma, kanun veya idari düzenlemelerle korunan, vergileme işlemi sırasında vergi mükelleflerinin ileri sürebilecekleri haklar olarak algılanmalıdır.

Bu çalışmada Türkiye’de özellikle idari aşamada ortaya çıkan vergi uyuşmazlıklarının çözümünde mükellef hakları ele alınacak ve aksaklıkların çözümüne dünya örneklerinden öneriler getirilecektir.

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1 Gerçek ve tüzel kişiler vergi ödevlerini kendileri yerine getirebilecekleri gibi bu kişilerin ödevleri

kanuni temsilci ya da vergi sorumlusu gibi üçüncü kişiler tarafından da yerine getirilebilmektedir.

Bu bağlamda mükellef kavramı bu üçüncü kişileri içine alacak şekilde genişletilerek algılanmalıdır.

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**TAXPAYER RIGHTS IN TURKEY ABOUT THE SOLUTION IN  
TAXATION DISAGREEMENTS BY SUGGESTIONS WITH EXAMPLES  
AROUND THE WORLD**

**Prof.Dr. Ersan ÖZ**

**Res.Asst. Davut BUZKIRAN**

Tax can be described as the monetary value that is collected by the state or the law juristic people whom the state has employed as compulsory and unreturned by the superiority of the state to pay the public expenditures. We see tax in the 73rd matter, named as the tax responsibility, in the 4th part of the constitution, named as political rights and responsibilities, as an authority and responsibility whose lines are described.

Taxation authority is the legal and actual power which the state owns by depending on its dominance on the country. In limited meaning, taxation authority means only to force the others to pay tax, on the other hand, in brief meaning, it includes all kinds of economic responsibility authority.

In the 8th matter of the Law of Taxation System, the citizen who has the responsibility to pay tax, in other words, the taxpayer, is described as "the real or law juristic person who has the responsibility to pay tax loan according to the taxation laws (1). The term "tax loan" in the law also includes other responsibilities such as recording, informing, keeping the documents besides paying the tax.

In the taxation process, there is a direct legal relationship between the state and the citizen (taxpayer) in which the sides are not equal. In the taxation law relationship, it is important to establish and protect the benefit balance between the taxpayer and the state. In this sense, the taxpayer has to be given some rights besides his responsibilities. These

rights are some authorities which are given to the citizen by laws through constitution contracts, laws and other sources, and by which the taxpayer can demand from the state to do or not to do something while establishing or practising the rules of taxation law. Also, besides having negative or positive demands, these rights provide legal protection when there is a violation of authorities. In addition to these, apart from the taxation relationship and the rights caused by the laws which organizes the relationship, they should be perceived as the rights which are both rooted to the basic human rights that are in the universal law system and protected by constitution, international agreements, laws and administrative arrangements, and which the taxpayer can use in the tazation process.

In this study, the rights of the taxpayer in the solution of the taxation disagreements which appear especially in the administrative level in Turkey will be handled and examples from the world about solving these problems will be shown.

1. As the real and law juristic people can pay their own taxes, third people such as their legal representatives or the people who are responsible about their taxation can complete their responsibilities. As a result, the term "taxpayer" should be perceived larger to include these people, too.

### **1. Mükellef ve Mükellef Hakları Kavramı**

Vergi, devletin ya da yetki verdiği kamu tüzel kişilerinin kamu giderlerini karşılamak üzere egemenlik gücüne dayanarak vatandaşlarından cebri ve karşılıksız olarak topladığı parasal değer olarak tanımlanabilir. Vergi, Anayasanın siyasal haklar ve ödevler isimli dördüncü bölümü içerisinde vergi ödevi başlıklı 73. maddesinde çerçevesi belirlenmiş bir yetki ve ödev olarak karşımıza çıkmaktadır.

Vergilendirme yetkisi devletin ülkesi üzerinde egemenlik gücüne dayanarak, vergi alma konusunda sahip olduğu hukuki ve fiili güçtür. Dar anlamda vergilendirme yetkisi

yalnızca vergi koyma gücünü ifade ederken, geniş anlamda vergilendirme yetkisi her türlü mali yükümlendirmeye ilişkin yetkiyi ifade etmektedir. (Öncel, Kumrulu ve Çağan, 2014:33).

Vergi ödevlisi durumundaki vatandaş yani mükellef, Vergi Usul Kanunu'nun 8. maddesinde: mükellef, vergi kanunlarına göre kendisine vergi borcu terettüb ( ödev olarak üzerine düşen) eden gerçek veya tüzel kişidir şeklinde tanımlanmıştır<sup>xxxvii</sup>. Kanundaki tanımda yer alan vergi borcu kavramı ise tarh olunan vergiyi ödemenin (maddi ödev) yanında, defter tutmak, beyanname vermek bildirimde bulunmak, belgeleri saklama ve ibraz etme gibi (şekli ödev) çeşitli yükümlülükleri ifade etmektedir (Öncel, Kumrulu ve Çağan,2014:71).

Vergilendirme işlemi sırasında devlet ve vatandaş (mükellef arasında) tarafların eşit olmadığı dikey bir hukuki ilişki kurulmaktadır. Devlet bu ilişkide kamu gücünü kullanmaktadır. Vergi hukuku ilişkisinde yükümlü ile devlet arasındaki çıkar dengesinin kurulması ve korunması önem kazanmaktadır. Bu bağlamda vergi mükellefine yüklenen ödevlerin yanında bazı hakların da verilmesi gerekmektedir. (Gökbel, 2000:9). Bu bağlamda mükellef hakları, anayasa, sözleşme, yasa gibi asli ve diğer tali kaynaklar aracılığıyla hukukun vergi mükellefine tanıdığı, mükellefin devletten, vergilendirme yetkisi çerçevesinde vergi hukuku kurallarını yaratırken veya uygularken, bir şey yapmasını veya yapmamasını talep edebileceği yetkililerdir (Yaltı, 2006:3). Aynı zamanda, bu haklar olumlu ve olumsuz taleplerde bulunma yetkisinin yanında bu yetki ihlal edildiğinde hukuki koruma sağlayan haklardır (Dönmez, 2004:57). Bununla birlikte mükellef hakları, yalnızca vergi ilişkisi ve onu düzenleyen mevzuattan kaynaklanan hakların ötesinde gerek genel hukuk sisteminde var olan temel insan haklarından kaynaklanan; gerekse anayasa,

uluslararası anlaşma, kanun veya idari düzenlemelerle korunan, vergileme işlemi sırasında vergi mükelleflerinin ileri sürebilecekleri haklar olarak algılanmalıdır (Bakar, 2011:4).

## **2. Türkiye’de Mükellef Hakları**

Ülkemizde vergi mükelleflerinin sahip oldukları hakları anayasa ve kanun gibi metinlerde kaynağını bulan ve vergi ilişkisi kurulmasa dahi sahip olunan genel haklar ve vergi kanunlarında düzenlenmiş olan özel haklar olarak iki kısımda incelemek mümkündür. Genel haklar vatandaşların tamamının yalnızca vatandaş olmalarından dolayı (karşılıklı olma esasıyla yabancılar da faydalanabilir) yararlanabildikleri haklar iken özel hakların kullanılabilmesi vergi ilişkisinin doğmasıyla alakalıdır.

### **2.1. Mükelleflerin Genel Hakları**

Genel haklar; adil, eşit ve saygılı hizmet alma hakkı, bilgi alma ve başvuru hakkı, vergilemede belirlilik hakkı, mükelleflere ilişkin bilgilerin gizliliği hakkı, temsilci kullanma hakkı ve özel hayatın gizliliği hakkı olarak sayılabilir. Bu haklar, aralarında herhangi bir öncelik ve hiyerarşi olmayıp, tüm mükelleflere vergi kanunların uygunluğu, işleyişi ve geçerliliği sırasında güvence sağlamaktadırlar (Gerçek, 2006:127).

#### **2.1.1. Adil, Eşit Ve Saygılı Hizmet Alma Hakkı**

Bu hak, yetkisini tarafsız ve adil kullanması gerekliliğini vergi idaresinin mükelleflere saygılı ve nezaket kuralları içerisinde davranması, gerekliliğini ifade etmektedir. Buna göre vergi kanunlarının uygulanmasında mükelleflere karşı adil, eşit ve tutarlı davranılarak vergilerin hesaplanmasında onların özel durumları da dikkate alınmalıdır. Mükelleflerin karşılaştıkları sorunların çözümü için yardım talep etmeleri veya şikayetlerini dile getirmeleri durumunda, bunlar belirlenen hizmet standartları çerçevesinde hızlı ve adil bir şekilde çözümlenmektedir (Egeli ve Dağ, 2012:133).

Türk Vergi Hukuku’nda mükelleflere adil, eşit, profesyonel ve saygılı hizmet sunulacağına ilişkin bir yasal düzenleme bulunmamaktadır, bunun yanında gerek mükellef hakları bildirgesinin özüyle gerekse Maliye Bakanlığı’nın diğer uygulamalarıyla mükelleflere iyi hizmet garantisi sözü vermektedir. Bildirgenin maddelerinde yer almamakla birlikte giriş cümlesinde bildirgeyle Gelir İdaresi Başkanlığı’nın “saygılı ve dürüst olma temel ilkesiyle çalışmaya bağlı” olduğu vurgulanmıştır (Bakar, 2011:73).

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### 2.1.2. Bilgi Edinme, Dilekçe Ve Kamu Denetçisine Başvurma Hakkı

Bilgi edinme hakkı, hak ve özgürlüklerin kullanılması bakımından çok önemli ve temel haklardandır. Bilgi edinme hakkı, vatandaşın devlet tarafından denetlenmesi anlayışının yanı sıra, yönetimde şeffaflık anlayışını da beraberinde getirmektedir (Yurtsever ve Buran, 2012:50).

Mevzuatımızda bilgi edinme hakkını düzenleyen 4982 sayılı Bilgi Edinme Hakkı Kanunu'nun 5. maddesine göre; Kurum ve kuruluşlar, bu Kanunda yer alan istisnalar dışındaki her türlü bilgi veya belgeyi başvuranların yararlanmasına sunmak ve bilgi edinme başvurularını etkin, süratli ve doğru sonuçlandırmak üzere, gerekli idarî ve teknik tedbirleri almakla yükümlüdürler. Bu kurum ve kuruluşlara vergi idaresi de dahildir. Bu bağlamda vergi idaresi, Bilgi Edinme Hakkı Kanunu'nun istinasını oluşturan vergi mahremiyeti alanına giren bilgiler dışında, kendilerine başvurularak talep edilen bilgileri mükelleflerle paylaşmakla yükümlüdür.

Ayrıca Vergi Usul Kanunu' nun 413. maddesine göre mükellefler, Gelir İdaresi Başkanlığından veya bu hususta yetkili kıldığı makamlardan, vergi durumları ve vergi uygulaması bakımından belirsiz olan ve tereddütte kaldıkları hususlar hakkında yazı ile izahat isteyebilir. Gelir İdaresi Başkanlığı, kendisinden istenecek izahatı özelge ile cevaplandırabileceği gibi, aynı durumda olan tüm mükellefler bakımından uygulamaya yön vermek ve açıklık getirmek üzere sirküler de yayımlayabilir.

Anayasanın “Dilekçe, bilgi edinme ve kamu denetçisine başvurma hakkı” başlıklı 74. maddesi Türk vatandaşlarının kendileriyle ve kamu ile ilgili dilek ve şikayetleri hakkında, yetkili makamlara ve TBMM'ye yazı ile başvurma hakkına sahip olduklarını hüküm altına almıştır. Dilekçe hakkı ve buna ilişkin usul ve esaslar 3071 sayılı Dilekçe Hakkının Kullanılmasına Dair Kanunla düzenlenmiştir. Buna göre mükellefler, vergileme açısından sonuç doğuran bir işlem yapılması veya durum tespit edilmesi için veyahut vergi idaresi tarafından alınan karar ve yapılan işlemlere karşı dilekçe ile başvuru hakkını kullanarak, bu karar ve işlemlerin gözden geçirilmesini veya yargı yoluna başvurarak uyuşmazlığın çözülmesini talep edebilirler (Gerçek, 2006:129).

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Ülkemizde 2013 yılı itibariyle kamu hizmetlerinin işleyişinde bağımsız ve etkin bir şikâyet mekanizması oluşturmak suretiyle, idarenin her türlü eylem ve işlemleri ile tutum ve davranışlarını; insan haklarına dayalı adalet anlayışı içinde, hukuka ve hakkaniyete uygunluk yönlerinden incelemek, araştırmak ve önerilerde bulunma amaçlarına hizmet etmek üzere 6238 sayılı Kanun ile Kamu Denetçiliği kurumu oluşturulmuştur.

Kamu denetçiliği kurumu, vergi mükelleflerinin vergilendirme sürecinde usule (işleyiş) aykırılıktan veya vergilendirme işlemlerinde hukuka ve hakkaniyete (yerindelik) aykırılıktan doğan hak ihlallerine ilişkin şikayetler kapsama dahildir. Vergi idaresince, özellikle denetim süreci de dahil olmak üzere, yapılan her türlü hata, ihmal, ihlal, gecikme, adaletsiz ve ayrımcı uygulama, takdir yetkisini kötüye kullanma gibi hukuka aykırılıklar şikayet konusu edilebilir (Yaltı, 2012,195-196). Bu haliyle kamu denetçisi, usul hukukuna ve maddi hukuka ilişkin aykırılıkları, hakkaniyete aykırı uygulamaları inceleme yetkisine sahip olduğundan vergi mükellefinin haklarının korunması ile görevli bir merci olarak işlev görebilecektir (Hoş, 2014:301).

### **2.1.3. Vergilemede Belirlilik Hakkı**

Vergilemede belirlilik hakkı esasen Adam Smith'in vergileme ilkelerinden olan vergilemede belirliliğin bir sonucu olarak ortaya çıkmaktadır. Bu ilke mükelleflerce ödenmesi gereken vergi miktarının, zamanının ve ödeme biçiminin kesin ve açık olarak bilinmesi gerektiğini belirtir.

Mükellefler açısından belirlilik hakkının somut yansıması, hukuki güvenlik ilkesi çerçevesinde vergi kanunlarının belirli, anlaşılır ve istikrarlı olması ve geriye yürümemesi şeklinde ortaya çıkmaktadır (Gerçek, 2006:129). Nitekim Türkiye'de Anayasanın 73. maddesi ve Anayasa Mahkemesi ve Danıştay içtihatları bu hakkın teminatı niteliğindedir.

### **2.1.4. Temsilci Kullanma Hakkı**

Temsil, bir kişinin bir başka kişi adına hukuk alanında sonuç doğuracak şekilde işlem yapmasıdır. Vergi Hukuku alanında kanuni ve iradi olmak üzere iki çeşit temsil vardır. Kanuni temsil, kanundan doğmakta olup; küçük ve kısıtlılar ile tüzel kişiler adına işlemler kanuni temsilciler tarafından yürütülür. İradi temsil, bir kişinin iradesine bağlı

olarak temsilci atanması durumunda söz konusu olur. Vergi hukuku alanında iradi temsilci olunabilmesi için “özel yetki” ile temsilciye verilen yetkilerin belirlenmesi gerekmektedir.

Temsilci kullanma hakkı, vergi ile ilgili işlemlerin mükelleflerin yanı sıra, vekil ya da temsilci veya 3568 sayılı Yasada sayılı meslek mensupları tarafından da yapılabilmesini ifade etmektedir.

### **2.1.5. Özel Hayatın Gizliliği Hakkı ve Mükelleflere İlişkin Bilgilerin Gizliliği Hakkı**

Türkiye'nin de taraf olduğu Avrupa İnsan Hakları Sözleşmesi'nin 8. maddesine göre herkes özel hayatına, aile hayatına, konutuna ve haberleşmesine saygı gösterilmesi hakkına sahiptir. Paralel şekilde Anayasa'nın herkes, özel hayatına ve aile hayatına saygı gösterilmesini isteme hakkına sahiptir. Özel hayatın ve aile hayatının gizliliğine dokunulamaz şeklindeki hüküm içeren 20. maddesi ile takip eden konut dokunulmazlığı, haberleşme hürriyeti ve yerleşme ve seyahat hürriyeti başlıklı 21, 22 ve 23. maddeleri özel yaşamın gizliliğini garanti altına almıştır.

Bir mükellef hakkı olarak özel hayatın gizliliği ise daha ziyade mükellefin denetlenmesi sırasında önem kazanmaktadır. Bu bağlamda mükelleflerin denetlenmesini düzenleyen Vergi Usul Kanunu'nun 127-152. maddelerinde bu hakkın gözetildiği görülmektedir.

Kişinin içinde bulunduğu ekonomik koşulların ve sahip olduğu ekonomik sırların özel hayatın oldukça önemli bir unsurunu oluşturması sebebiyle, kişinin mali durumunun da özel hayatın gizliliği kapsamında değerlendirilmesi mümkündür. Dolayısıyla kişinin mali durumunun gizliliği, özel hayatın gizliliği kapsamında korunmalıdır (Şarman, 2011:2014).

Vergilendirme sürecinde idare tarafından mükellefler hakkında edinilen bilgilerin güvenliğinin sağlanması, mükellefler hakkında edinilen bilgilerin ifşa edilmemesi ve üçüncü kişilerin yararına kullanılmaması gerekleri “vergi mahremiyeti” olarak adlandırılan temel mükellef haklarından birini ifade etmektedir. (Şahin, 2012:200). Vergi mevzuatı içerisinde Vergi Usul Kanunu'nun 5. ve 362. maddeleri ile 6183 sayılı Kanun'un 107.

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maddesindeki ve ve 3568 sayılı Kanun'un 43. maddesindeki düzenlemeler bu hakkın korunmasına yöneliktir.

Söz konusu maddelere göre; Vergi işlemleri me incelemeleri ile uğraşan memurlar, vergi yargısında görevli olanlar, vergi kanunlarına göre kurulan komisyonlara iştirak edenler , vergi işlerinde kullanılan bilirkişiler, 6183 sayılı kanunun tatbik edilmesinde görev alanlar ile serbest muhasebeci mali müşavir ve yeminli mali müşavirlerin vergi mahremiyetini ihlal etmesi durumunda Türk Ceza Kanunu'nun 239. maddesine göre bir yıldan üç yıla kadar hapis ve beşbin güne kadar adli para cezası ile cezalandırılmaları söz konusudur<sup>xxxvii</sup>.

#### **2.1.6. Dava Açma Hakkı**

Anayasanın 2. maddesinde Türkiye Cumhuriyeti bir hukuk devleti olarak tanımlanmıştır. Hukuk devleti olmanın bir gereği olarak anayasanın 125. maddesiyle idarenin eylem ve işlemleri de yargı denetimine tabi tutulmuştur. Bu bağlamda, taraflar Anayasa'nın 36. maddesi doğrultusunda bağımsız mahkemelere açtıkları davalarla haklarının korunmasını talep edebilmektedirler (Çiftçi ve Yusufoglu, 2014: 22).

Vergilemeyle ilgili işlemlerde mükellefler ve idare arasında uyuşmazlıklar söz konusu olduğunda, mükelleflere tanınan bu hak haklarının ya da menfaatlerinin ihlal edildiğini düşünen mükelleflerin söz konusu uyuşmazlıkları yargıya taşımalarına imkan sağlamaktadır.

#### **2.2. İdari Çözüm Yolları Kullanılırken Mükelleflerin Sahip Oldukları Haklar**

Mükellefler ve ceza sorumluları, ortaya çıkan uyuşmazlıkların çözümünde yargıya başvurmaksızın idari usuller çerçevesinde uyuşmazlıkları barışçıl şekilde çözme yolunu tercih edebilmektedirler. Vergi hukukumuzda vergi aslı ya da cezalarına yönelik olarak ortaya çıkan uyuşmazlıkların çözümünde, hata düzeltme, uzlaşma, cezalarda indirim ve pişmanlık ve ıslah müesseseleri bulunmaktadır. Bu yollar kullanılırken mükelleflerin sahip oldukları haklar aşağıda incelenecektir.

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### 2.2.1. Hata düzeltme

Vergi hatası, Vergi Usul Kanunu'nun 116. maddesinde vergiye mütaallik hesaplarda veya vergilendirmede yapılan hatalar yüzünden haksız yere fazla veya eksik vergi istenmesi veya alınmasıdır şeklinde tanımlanmıştır. Düzeltme işlemi, idare ile mükellef arasındaki hatanın varlığının tespit edilip, yargı yoluna başvurulmaksızın işlemdeki hatayı giderme ve bunun sonucuna uygun işlemlerin yapılmasıdır (Şenyüz, Yüce ve Gerçek, 2014:277).

Hesap hatası ve vergilendirme hatası olarak iki grupta kategorize edilen vergi hataları, ilgili memur tarafından, üst memurların yaptıkları incelemeler neticesinde, teftiş ya da vergi incelenmesi sırasında ve mükellefler tarafından tespit edilebilmektedir.

Böyle bir durumda mükelleflerin söz konusu hataya ilişkin zamanaşımı süresince yazı ile idareden hatanın düzeltilmesini talep etme hakkı bulunmaktadır. İdarece tereddüt edilmeyen açık ve mutlak vergi hataları olması durumunda hata re'sen düzeltilir. Hata düzeltme mükellefin aleyhine yapıldıysa yeni oluşan durum için mükellefin dava açma hakkı saklı kalır.

Vergi mahkemesinde dava açma süresi geçtikten sonra yaptıkları düzeltme talepleri reddedilen mükelleflerin şikayet yolu ile Maliye Bakanlığı'na<sup>xxxvii</sup> müracaat etme hakları vardır. Şikayet başvurusu da reddedilen mükellefin dava açma hakkı bulunmaktadır.

### 2.2.2. Uzlaşma

Belli miktardaki vergi tarhiyatı ile kesilen ceza üzerinde vergi dairesi ve mükellefin pazarlık sonucu anlaşmaları şeklinde tanımlanabilen uzlaşma yolu, Türk vergi hukukuna 1963 yılında girmiştir. Uzlaşmanın kabulünde izlenen esas amaç uyuşmazlıkları kolayca giderip vergi alacağının hazineye giriş süresini kısaltmaktır. Türk vergi hukukuna Federal Alman vergi hukukundan model alınarak getirilen uzlaşma müessesesi Vergi Usul Kanunu'nun Ek 1, 6, 7, 8, 9, 11 ve 12. maddelerinde düzenlenmektedir. Bu kurum, anayasal vergilendirme ilkelerine, özellikle de bu ilkelerden eşitlik ilkesine aykırılıklar içermektedir (Öncel, Kumrulu ve Çağan,2014:170-171).

Vergi Usul Kanunu'nun ilgili maddelerinde tarhiyat öncesi uzlaşma ve tarhiyat sonrası uzlaşma olmak üzere iki tür uzlaşma düzenlenmiştir. Tarhiyat öncesi uzlaşma ile

bir vergi incelemesine dayanılarak tarh edilecek vergiler ve kesilecek cezaların, henüz vergi tarh edilmeden ve/veya ceza kesilmeden önce vergi idaresi ile mükellef arasında uzlaşma görüşmeleri yapılmasına imkan verilir. Uzlaşma kapsamına vergi incelemeleri sonucunda bulunan matrah farkları üzerine salınacak vergi, resim ve harçlar ile bunlara ilişkin olarak kesilecek vergi ziyai cezası (ağır nitelikli fiiller hariç) ile genel ve özel usulsüzlük cezaları girmektedir. Tarhiyat sonrası uzlaşma ise tarhiyat öncesi uzlaşmaya başvurmayan mükelleflerin gidebileceği bir yoldur. Uzlaşma kapsamına ikmalen, re'sen ve idarece tarh edilen vergiler ile bunlara ilişkin kesilen vergi ziyai cezası (ağır nitelikliler hariç) girmektedir (Bakar, 2011:109).

Uzlaşma konusu verginin matrah farkları itibariyle bölünebildiği durumlarda uzlaşma sadece toplam matrah farkının bu bölümüne isabet eden vergi kısmı için de yapılabilir. Uzlaşma talebi vergi ihbarnemesinin tebliğ tarihinden itibaren otuz gün içinde yapılır. Uzlaşma talebinin yapılmasında mükelleflerin resmi vekaletle sahip olmak kaydıyla temsilci kullanma hakları mevcuttur.

Ayrıca mükellefler, uzlaşma görüşmelerinde, bağlı olduğu meslek odasından bir temsilci ve 3568 sayılı Kanuna göre kurulan meslek odasından bir meslek mensubu bulundurabilir bu kişiler görüş bildirebilir fakat imza atma yetkileri bulunmamaktadır.

Uzlaşmanın vaki olmaması veya temin edilememesi halinde yeniden uzlaşma talebinde bulunulamaz. Uzlaşmanın vaki olmadığına dair tutanağa idarenin nihai teklifi yazılır. Mükellef dava açma süresinin sonuna kadar teklif edilen vergi ve cezayı kabul ettiğini yazılı olarak bildirirse bu takdirde uzlaşma sağlanmış sayılır. Uzlaşılan tutarların daha sonrasında dava konusu edilmesi söz konusu değildir.

Uzlaşmanın sağlanamaması durumunda mükelleflerin diğer idari çözüm yollarına başvurma ya da dava açma hakları saklıdır. dava açma süresi bitmiş veya 15 günden az kalmış ise bu müddet tutanağın tebliği tarihinden itibaren 15 gün olarak uzar.

### **2.2.3. Cezalarda İndirim**

Cezalarda İndirim vergi cezalarına özgü sona erme nedenlerinden biri olarak karşımıza çıkmaktadır Öncel, Kumrulu ve Çağan,2014:153).

Vergi Usul Kanunu'nun 376. Maddesinde: İkmalen, re'sen veya idarece tarh edilen vergi veya vergi farkını ve aşağıda gösterilen indirimlerden artakalan vergi ziyayı, usulsüzlük ve özel usulsüzlük cezalarını mükellef veya vergi sorumlusu ihbarnamelerin tebliğ tarihinden itibaren otuz gün içinde ilgili vergi dairesine başvurarak vadesinde veya 6183 sayılı Kanundabelirtilen türden teminat göstererek vadenin bitmesinden itibaren üç ay içinde ödeyeceğini bildirirse, vergi ziyayı cezasında birinci defada yarısı, müteakiben kesilenlerde üçte biri, ve usulsüzlük veya özel usulsüzlük cezasının üçte biri indirilir şeklinde açıklanan bu müessese cezaya muhattap olan mükelleflere dava yoluna gitmeden indirimli bir şekilde ödeme imkanı sağlamaktadır.

Tıpkı uzlaşma müessesinde olduğu gibi, cezalarda indirim müessesesinin de kamu alacağının hazineye hızlı bir şekilde intikal etmesi ve yargının iş yükünün hafifletilmesi gerekçeleriyle mükelleflere getirilmiş bir hak olduğu söylenebilecektir.

#### **2.2.4. Pişmanlık ve İslah**

Türk vergi hukukunda, uyuşmazlıkların yargısal yolla çözümüne alternatif bir yol da “pişmanlık ve ıslah” müessesesidir. Mükelleflerin işledikleri vergi ziyayı cezası gerektiren fiilleri kendiliğinden idareye bildirmeleri ve yasanın aradığı diğer koşulları da yerine getirmeleri hâlinde vergi ziyayı cezasından ve kaçakçılık nedeniyle uygulanacak hürriyeti bağlayıcı cezadan bağışık tutulmaktadır. Böylece bir yandan idare ve yükümlü arasında çıkması muhtemel uyuşmazlık sayısı azalmaktayken öte yandan yükümlüler kayba uğrattıkları vergiyi hazineye intikal ettirme konusunda teşvik edilmiş olmaktadır (Akkaya, 2013:121).

Vergi Usul Kanunu'nun 371. maddesine göre pişmanlık ve ıslah müessesesinden faydalanabilmek için mükellefin durumu haber verdiği tarihten önce bir muhbir tarafından her hangi resmi bir makama dilekçe ile veya şifahi beyanı tutanakla tevsik edilmek suretiyle haber verilen husus hakkında ihbarda bulunulmamış olması gerekmektedir.

Pişmanlık ve ıslah müessesesi bilerek ya da bilmeyerek bir suç işleyen mükellefin sonrasında hakkında ihbar ya da inceleme olmaksızın kendi rızasıyla idareye başvurarak vergi cezalarından kurtulabilmesini sağlayan bir hak olarak vergi hukukumuzda yer bulmaktadır.

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### 3. Bazı dünya Ülkelerinde Mükellef Hakları

Bu başlık altında seçilmiş dünya ülkelerindeki mükellef haklarına değinilerek Türkiye ile karşılaştırmalar yapılacaktır.

1990'lı yıllardan itibaren, dünyada vergi idarelerinin “mükellef odaklı yaklaşımla” yeniden yapılandırılması ve vergileme sürecinin etkin, adil ve şeffaf hale getirilmesi çalışmalarına paralel olarak birçok ülkede mükellef haklarının belirlenmesi, açıklanması, korunması ve denetlenmesi gibi hususlar gündeme gelmiş ve “mükellef hakları” vergileme ile ilgili hızla gelişen ve ilgi çeken alanlardan birisi olmuştur.

1990 yılında OECD tarafından mükellef hakları ile ilgili bir rapor hazırlanmıştır. Bu rapora göre OECD tam üyesi olan ülkelerin “mükellef hakları bildirgesi” veya “mükellef hakları imtiyazı” açıklamaları istenmiştir(OECD,1990). Ve bu çağrı karşılık bulmuştur.

Mükellef haklarının belirlenmesi ve açıklanması ile ilgili yoğun çalışmalar yürüten ülkelerin öncülüğünü İngiltere, ABD ve Avustralya çekmiştir (Gerçek, 2006: 123). Daha sonra, pek çok ülke bu yöndeki çalışmalarına hız vermiştir.

Mükellef haklarının korunmasına yönelik olarak ABD'de farklı bir yapılanmaya gidilerek Mükellefin Avukatı İdaresi kurulmuştur. Ülkelerinin çoğunda ise benzer amaçla Ombudsman görev yapmaktadır. Mükellef haklarını korumak amacıyla görev yapan Dünya Mükellefler Birliği ve birçok ülkede Mükellef Birlikleri oluşturulmuştur.

#### 2.3. ABD'nde Mükellef Hakları

ABD'de mükellef haklarının açıklanması ve duyurulması diğer ülkelerden farklı olarak kanun şeklinde yapılmıştır. ABD Kongresi, Mükellef Hakları Bildirgesini 1988 yılında kabul edip ilan etmiştir. Daha sonra, 1996 yılında Mükellef Hakları Bildirgesi 2, 1998 yılında Mükellef Hakları Bildirgesi 3'ü yasalaştırarak vergileme sürecinde mükelleflerin sahip olduğu hak ve ödevlerin kapsamını daha ayrıntılı bir şekilde kamuoyuna açıklamıştır (Greenbaum, 1998:347).

ABD’de Mükellefin Avukatı İdaresi, ABD İç Gelir İdaresi (IRS)’in mükelleflere müşteri odaklı davranmasını sağlamak, müşterilere aktif savunma hizmeti sunmak ve mükellef yararına politikaların geliştirilmesinde önemli rol oynamak amacıyla vergi idaresinin dışında ve bağımsız idari bir birim olarak 1994 yılında kurulmuştur.

Mükellefin Avukatı İdaresi temel fonksiyonu; IRS ile mükellef arasında baş gösteren sorunlarda mükellefe destek çıkmak ve belirlenen kriterler çerçevesinde mükelleflerin sorunlarını çözmektir.

Dünyanın en çok vergi toplayan ve en çok mükellefi olan ABD Federal Vergi İdaresi (IRS); Vergi Mükellefinin Haklar Demeci (Taxpayer Bill of Rights) ile mükellef haklarına uymayı taahhüt etmiştir (Gökbel, 2000:32-36). Çeşitli kanunlarla ABD federal vergi mükelleflerine tanınmış olan mükellef hakları şunlardır:

- Mükelleflerin Hakları Konusunda idarece Bilgilendirilmesi Hakkı,
- Kişisel Gizliliğe Uyma Hakkı,
- Adil ve Saygılı İşlem Yapılmasını İsteme Hakkı,
- Mükelleflerin Temsil Edilme Hakkı,
- Mükelleflerin Doğru Vergi Miktarını Ödemesi Hakkı,
- İtiraz ve Yargıya Başvurma Hakkı,
- Çözülmemiş Vergi Sorunları İçin Yardım Hakkı,
- İyi Niyetli Mükellefin Ceza ve Faizlerinin Kaldırılması Hakkı,
- Bilgi İsteme Hakkı

ABD Kongresi, Amerikan Gelir İdaresi (IRS)’ne şu talimat verilmiştir; mükellef ihtiyaçlarını göz önüne alarak en iyi hizmet sunmak. Kendisine verilen bu talimat doğrultusunda IRS yeni misyonunu: "Vergi mükelleflerinin sorumluluklarını anlamalarına ve yerine getirmelerine yardımcı olarak ve vergi yasalarını herkese tutarlılık ve adalet anlayışı içinde uygulayarak en üst kalitede hizmet sunmak" şeklinde tanımlamıştır (IRS, 1996).

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Yeni misyonunu gerçekleştirebilmek için IRS kendisine üç stratejik amaç belirlemiştir:

- 1) Her mükellefe en iyi hizmeti sunmak,
- 2) Tüm mükelleflere en iyi hizmeti sunmak
- 3) Verimli ve nitelikli hizmet sunmak,

Böylece IRS'de "En Az Maliyetle En Fazla Geliri Toplamak" yaklaşımından "VERİMLİ VE NİTELİKLİ ÇALIŞMA" yaklaşımına geçilmiştir.

ABD'de 1998 reform Kanunu ile, vergi idaresinin dışında bağımsız idari bir birim olan Mükellefin Avukatı İdaresinin yetkileri genişletilmiş ve sorumluluklarında önemli değişiklikler yapılmıştır (IRS, 2002).

- ✓ Mükelleflerin IRS ile olan sorunlarını çözmek ve yeni sorunları önleyecek değişiklik önerilerinde bulunmak.
- ✓ Mükellefin Avukatı İdaresinin amacı iyi yetişmiş personelden oluşan bir idare oluşturarak, IRS'nin mükelleflere müşteri odaklı davranmalarını sağlamak,
- ✓ Mükelleflere daha aktif savunma hizmeti sunmak ve mükellef yararına politikaların geliştirilmesinde ve kararların alınmasında önemli rol oynamaktır.

Mükellefin Avukatı İdaresi iki temel fonksiyon çerçevesinde organize olmuştur (Gerçek: 2002,69):

1) Koruma fonksiyonu: Mükellefin Avukatı İdaresinin kriterleri çerçevesinde mükelleflerin sorunlarını çözmeden sorumludur.

2) Sistem analizi ve savunma fonksiyonu: Sistem problemlerini belirlemek, kökleşmiş sorunları analiz etmek, yeni sistem ve uygulamaların potansiyel sorunlarını saptayarak bunlara yönelik çözüm geliştirmekten sorumludur.

Mükellefleri zor duruma düşürebilecek bir vergi uygulaması ortaya çıktığında, 30 gün içinde Mükellefin Avukatı İdaresine başvurulabilir. Vermiş olduğu kararlar bağlayıcı olmamakla beraber, uygulamada doğrudan dikkate alınmaktadır.

### 3.2. İngiltere’de Mükellef Hakları

Mükellef haklarının açıklanması ve duyurulması hususunda ilk girişim İngiliz Vergi İdaresi tarafından Temmuz 1986’da “Mükellef Hakları İmtiyazı”nın yayınlanması ile başlamıştır (Gökbel, 2000:32-36).

Ağustos 1991’de, bu imtiyazın temel amacı olan “mükelleflere adil ve etkin hizmet sunulmasını sağlamak” aynen korunurken, kolay anlaşılabilmesi için daha özet ve açık hale getirilmiştir. Temmuz 2003’te yenilenen ve Temmuz 2004’te tekrar gözden geçirilen “Vergi Mükellefleri İçin İmtiyaz”, mükelleflere yönelik bir “hizmet taahhüt beyanı” niteliğini taşıyan broşür olarak basılmıştır. Böylece, Vergi Mükellefleri İçin İmtiyaz İngiliz Gelir İdaresinin mükellef hizmetlerine olan genel yaklaşımının bir ifadesi haline gelmiştir (Inland Revenue, 2000: 3-4).

İngiliz Gelir İdaresi bir kurul olarak örgütlenmiş ve bu kurulun üyelerine de "Vergi Komisyon Üyesi" ismi verilerek İngiliz Gelir İdaresinin mükellef odaklı bir yönetim anlayışına geçileceği vurgulanmıştır.

Mükellef odaklı yönetim anlayışının başarılı bir şekilde yerleştirilebilmesi için gelir idaresinin çalışma prensipleri yeniden belirlenmiştir.

- ✓ mükellefleri anlama,
- ✓ onların sorunlarını çözme,
- ✓ gelir idaresi - mükellef ilişkilerini hızlı ve etkin bir şekilde kurma,
- ✓ mükelleflerin vergiye uyumunu artırma,

İngiliz Gelir İdaresi mükelleflerin ve çalışanlarının görüşlerini dikkate alarak hazırladığı misyonunu Mükellef Hakları Bildirgesi (Charter for Taxpayers) metni olarak ilan etmiştir. Bu metinde vergi mükellefleri müşteri olarak isimlendirilmiş olup, İngiliz Gelir İdaresinin amacı, onlara etkin verimli ve adil hizmet sunmak olduğu açıklanarak mükelleflere sunulacak hizmetin standartları, hangi konularda idarenin yardım ve desteğini alabilecekleri, dilek ve şikâyetlerini ne şekilde işleme koyabilecekleri tespit edilmiştir (Gerçek, 2002:71)

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“Vergi Ombudsmanı” veya "Parlamento Vergi İdaresi Komisyonu Üyesi" gelir idaresinin haksız işlemlerine karşı mükelleflerin düzeltme talepleri veya şikayetlerinin önceden belirlenmiş süreler içinde çözümlenmemesi halinde, bu uyuşmazlıkları çözümlenmektedir.

Genellikle şikayet yoluyla Ombudsmana başvurulmadan önce, mükelleflerin gelir idaresiyle olan uyuşmazlıklarını çözmek amacıyla ilgili gelir idaresine başvurmaları ve bunları idari prosedür içinde çözmeleri gerekmektedir. Eğer mükellefin şikayetinin haklı olduğunu görürse, Ombudsman ilgili idareye şikayetle ilgili işlemlerin düzeltilmesini tavsiye eder. Ombudsman kendi tavsiyesinin yerine getirilmesi hususunda idareyi zorlamaya yetkisi yoktur, ancak idareler Ombudsman'ın hemen hemen bütün tavsiyelerini yerine getirmektedirler (Inland Revenue, 2002).

### **3.3. Avustralya’da Mükellef Hakları**

Mükellef hakları konusunda en ileri seviyeye ulaşmış olan Avustralya Vergi İdaresi (ATO)’dur. 1993 yılında Avustralya Parlamentosu tarafından yayınlanan bir rapordan sonra bu konuya eğilmişlerdir.

İngiltere ve ABD’deki uygulamaların ayrıntılı incelenmesinden ve titiz bir çalışma sürecinden sonra 1997 yılında ATO Mükellef Hakları İmtiyazı’nı yayınlamıştır. Mükellef haklarının en iyi şekilde anlaşılması ve uygulanması amacıyla, ATO 2000 ve 2002 yıllarında iki ampirik araştırma yürütmüştür (ATO,2002).

Mükelleflerin talep ve beklentileri doğrultusunda gözden geçirilen ve yenilenen Mükellef Hakları İmtiyazı Kasım 2003’de yayınlanmıştır. İlk Mükellef Hakları İmtiyazı’nın çok uzun olduğu yönündeki geri dönüşüm bilgileri dikkate alınarak, bu imtiyaz iki şekilde yayınlanmıştır (Gökbel, 200,35):

- 1) “Mükellef Hakları İmtiyazı - Bilmen Gerekenler”
- 2) “Mükellef Hakları İmtiyazı - Detaylı Olarak”

Avustralya Mükellef Hakları İmtiyazı, vergileme işleminde mükelleflerin sahip oldukları hakları ve yerine getirmeleri gereken ödevleri açık ve basit bir şekilde sıraladığından, vergi idaresi – mükellef ilişkisinin karşılıklı ifadesi olarak görülmektedir.

Avustralya’da Mükellef Hakları Bildirgesi ilk olarak resmen 1997 yılında vergi idaresi tarafından yayımlanmış ve 2003 yılında bu bildirge gözden geçirilmiştir. Bu bildirgede yer alan haklar aşağıdaki gibidir (Gerçek, 2002:74):

- Mükelleflere Adil, Eşit ve Rasyonel Ölçülerde Davranılma Hakkı,
- Aksi Kanıtlanmadığı Sürece Mükellefin Dürüst Olduğu ve Kendisine Bu Şekilde Davranılmasını Bekleme Hakkı,
- Mükellefin Vergisel Yükümlülüklerini Anlaması ve Yerine Getirebilmesi İle ilgili Her Türlü Yardım Alma Hakkı,
- Mükellefin Temsilci Seçebilme ve Vergi işlerinde Danışmanlık Hizmetinden Yararlanabilme Hakkı,
- Mükellefin Gizlilik Hakkı,
- Mükellefe Ait Sırların Saklı Tutulması Hakkı,
- Mükelleflerin Bilgilendirme Hakkı,
- Mükelleflerin Doğru Bilgi Önerileri Alma Hakkı,
- Vergi ile ilgili işlemler Hakkında Açıklama isteme Hakkı,
- Gözden Geçirme Hakkı,
- Şikayette Bulunma Hakkı.
- Vergi Yükümlülükleri Yerine Getirilirken Vergi Giderlerini En Aza indirme Hakkı,
- Vergi idaresinin Yaptığı işlemlerden Sorumlu Olması.

Avustralya Vergi İdaresi yayınlamış olduğu Mükellef Hakları Bildirgesinde, faaliyetlerini müşteri odaklı ve birlikte çalışma esasına dayalı olarak sürdüreceğini, mükelleflere karşı dürüst, profesyonel, objektif ve adil bir anlayışla davranacağını taahhüt etmiştir.

Ayrıca, sunulan hizmetlerden mükelleflerin memnuniyetini belirlemek için, mükelleflerden örneklemeler seçilerek görüşülmektedir. Avustralya Vergi İdaresi mükelleflerin vergi idaresinden talep edebilecekleri hizmet standartlarını açıklamasına

karşın, mükelleflerin en önemli vergi yükümlülüklerini de hatırlatmıştır. Vergilerin kanunlara uygun bir şekilde ve doğru miktarda ödenmesi çok önemli bir toplumsal sorumluluk olarak nitelendirilmiştir.

### **Sonuç**

Vergileme sürecinde vergi idaresi - mükellef ilişkileri sırasında mükelleflere tanınan haklar olarak ifade edilen mükellef hakları, 1990'lerden itibaren vergi idarelerinin yeniden yapılandırılması çalışmalarında mükellef odaklı yaklaşımın bir sonucu olarak gündeme gelmiştir. Nitekim vergi idarelerinin yeniden yapılandırılması ve geliştirilmesi çalışmaları ile mükellef hakları arasında sıkı bir ilişki olduğu görülmektedir. Yasal ve idari düzenlemelerde mükelleflere tanınan hakları açıklamak ve duyurmak amacıyla çeşitli ülkeler bildirme veya imtiyazlar gibi araçlar kullanırken, bu hakları korumak için de farklı mekanizmalar geliştirmişlerdir.

Mükellef hakları açıklanırken, bir taraftan vergi idaresinin sunduğu hizmetlerin standartları ve kalitesi belirlenmeli, diğer taraftan ise mükelleflere ödev ve yükümlülükleri hatırlatılmalıdır. Ayrıca, mükellef haklarının etkin bir şekilde uygulanması ve korunması için bunları takip edecek ve güvence altına almaya çalışacak mekanizmalar geliştirilmelidir. Mükellef hakları ile ilgili bu düzenlemelerin başlatılması ve gerçekleştirilmesi için vergi idaresinde yeniden yapılanma çalışması yapılması önemli bir fırsattır. Bu yöndeki düzenlemelerin etkin bir şekilde ve kararlılıkla yapılması, mükelleflerin vergiye uyumunu artıracak ve vergi idaresi - mükellef ilişkilerinin gelişmesine önemli katkılar sağlayacaktır.

Vergi idaresinin modernizasyonu ile ilgili çağdaş eğilimler incelendiğinde çalışmaların; vergi sisteminin basit ve anlaşılabilir kılınması, vergi idaresinin güçlü ve uzmanlaşmaya dayalı bir örgüt yapısına kavuşturulması, mükelleflerin haklarını koruyacak birimlerin oluşturulması, vergi idaresi - mükellef işbirliğinin geliştirilmesi amacıyla mükellef hakları ile vergi idaresinin sorumluluklarının açıkça belirlenmesi, gibi alanlarda yoğunlaştırıldığı görülmektedir.

Mükellef haklarında ABD, İngiltere ve özellikle Avustralya'nın önderliği dikkat çekmektedir. Bu bağlamda özellikle Avustralya'da yayımlanan bildirme'de "aksi kanıtlanmadığı sürece mükellefin dürüst olduğu ve kendisine bu şekilde davranılmasını bekleme hakkı", "şikayette bulunma hakkı" ve "vergi idaresinin işlemlerinden sorumlu olması" gibi hususları daha 1997 yılında rapora bağlaması, Türkiye'deki mükellef haklarının geleceğine ışık tutabilecek niteliktedir. Özellikle önerilebilir ki, bu tür hususların şu sıralar yeniden yazılmakta olan yeni Vergi Usul Kanunu'na "Mükellef Hakları" başlığı açılıp altında işlenmesi, yasal koruma altına alınması Türkiye'de vergi uyuşmazlıklarının çözümünde mükellef haklarına da yeni bir olgunluk katacaktır. Bu tür düzenlemeler aynı zamanda mükellef bilincine pozitif dışsal yansıyarak bilinci olumlu etkileyecek, idare-mükellef uyuşmazlıkları minimize olamaya başlayacaktır değerlendirmesi yapılabilir.

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