



RECENT IDEAS AND RESEARCH IN SOCIAL SCIENCES

Edited by

Tonia De Giuseppe, Italy

Felice Corona, Italy

Siavash Bakhtiar, United Kingdom

Ana Paula Marques Portugal

Célia Taborda Silva, Portugal

Irina Cheremisova, Russia

Dominika Pazder, Poland

Ahmet Ecirli, Belgium

Miriam Aparicio, Argentina

Wan Kamal Mujani, Malaysia

Kristinka Ovesni, Serbia

Ekaterine Gulua, Georgia

Tereza Kopecka, Czech Republic

ISBN 978-164713772-4



REVISTIA
PUBLISHING AND RESEARCH

RECENT IDEAS AND RESEARCH IN SOCIAL SCIENCES

First published in 2019

Revised in 2021

ISBN 978-1-64713-772-4

Every reasonable effort has been made to ensure that the material in this book is true, correct, complete, and appropriate at the time of writing. Nevertheless, the publishers, the editors and the authors do not accept responsibility for any omission or error, or for any injury, damage, loss, or financial consequences arising from the use of the book. The views expressed by contributors do not necessarily reflect those of the publisher.

Published by
Revistia
Publishing and Research
Address: 11, Portland Road, London, SE25 4UF, United Kingdom
Tel : +44 2080680407
E-Mail : office@revistia.com

Copyright © Revistia

All rights reserved. No part of this book may be reproduced in any form or by any electronic or mechanical means, including information storage and retrieval systems, without written permission from the publisher or author, except in the case of a reviewer, who may quote brief passages embodied in critical articles or in a review.

TABLE OF CONTENTS

THE PHILOSOPHY OF EXISTENTIALISM IN <i>THE MAGUS</i> - THE MOTIFS OF FREEDOM AND SUICIDE	4
LJILJANA PTICINA	4
THE SOCIAL FUNCTION OF SPORT IN THE LIGHT OF THE HORIZONTAL SUBSIDIARITY PRINCIPLE BETWEEN "THIRD SECTOR" AND BEST PRACTICES IN ITALY*	12
MARIA CIMMINO	12
MEMORY, FORGETFULNESS AND NARRATION: REMINISCENCE TO RECALL VICTIMS OF THE ARMED CONFLICT IN COLOMBIA.....	19
ALEJANDRO RIASCOS GUERRERO.....	19
THE STRUGGLE FOR INTEGRATION OF REFUGEES AND IMMIGRANTS: EXAMPLES OF INTEGRATION OF REFUGEES IN EUROPEAN CITIES AND THE CASE STUDY OF ATHENS.....	28
EFTHIMIOS BAKOGIANNIS.....	28
CHARALAMPOS KYRIAKIDIS	28
TATIANI MILIONI.....	28
HAVE YOU EVER SEEN THE VOID? INTEREST GROUPS CONCERNS TOWARD THE WEAKENING REPRESENTATIONAL ROLE OF POLITICAL PARTIES IN EUROPEAN COUNTRIES	38
CHIARA FIORELLI	38
ARMS UP, GUNS DOWN. ANALYZING THE CLASH BETWEEN THE NARRATIVES OF STATE AND MEDIA ACTORS ON LIGHT WEAPONS CONTROL IN ALBANIA (2017)	48
LEIDA RUVINA	48
A COMPARISON OF EQUITY VALUATION MODELS: EMPIRICAL EVIDENCE FROM A SAMPLE OF UK COMPANIES	66
JA RYONG KIM	66
RE-QUESTIONING GREEN ARCHITECTURE IN EGYPT: A NEED, A MOVEMENT OR A STYLE?.....	82
KARIM KESSEIBA	82
MOBILIZING SKIN CARE: MEASURING AND TRACKING EXTERNAL CONDITIONS WITH LIGHT EMITTING DIODES.....	90
STEPHEN J McNEILL	90
THE SOCIETAL VALUE OF ART AND MUSIC IN THE BAPEDI CULTURE AND THE IMPLICATIONS FOR MUSIC IN HEALING AS A CULTURAL PHENOMENON	95
MORAKENG EDWARD KENNETH LEBAKA	95
CIVIC PARTICIPATION AND DEMONSTRATIONS IN PORTUGAL (2011–2012).....	108
CÉLIA TABORDA SILVA	108
PROVIDING THE SUSTAINABILITY OF MEERSCHAUM AS AN INTANGIBLE CULTURAL HERITAGE: ESKISEHIR EXAMPLE	115
GÖKÇE YÜKSEK.....	115

The Philosophy of Existentialism in *the Magus* - the Motifs of Freedom and Suicide

Ljiljana Pticina

Faculty of Philosophy, University of Novi Sad

Abstract

John Fowles' literary opus is largely based on the philosophy of existentialism, with the motifs of freedom and suicide serving as its focal points, both closely related to freedom of choice and seen as crucial to the existentialist movement, as well as the author himself. This paper analyses Fowles' novel *The Magus* through the prism of existentialism, which means that the basic existentialist concepts are identified and located within its text, as well as the influences of the key figures of this movement. The motifs of freedom and freedom of choice in context are interpreted and linked to the theories of Freud and Jung while special emphasis is placed on the role of the anima, that is, the female principle inside the male subconsciousness. This is precisely why a separate section of this paper is dedicated to female protagonists and their role in the novel. In his works, Fowles puts an emphasis on the freedom of the individual, which is portrayed through the freedom of the mind, ideas, choice and spirit. It is cruel, always demanding action as well as acceptance and adaptation. By remodelling our own character, we also remodel the future generations and our visions of the world. The protagonist in this novel is chosen to remodel his own character, to turn from a collector into a creator, to stop depriving people of the content and to bring about a positive creative act instead. Human border acts such as suicide also belong to this field of interest. There are three cases of suicide in *The Magus* and this paper analyses their role as a symbol of the protagonist's metamorphosis upon threading onto the mythical ground.

Keywords: Philosophy of Existentialism, Magus, Motifs of Freedom, Suicide.

Introduction

Nicholas with the broken pieces of his past, present and future

in his hands constitutes John Fowles's

living icon of the existentialist(Onega, 1986: 106)

The existentialist philosophy is what John Fowles remains faithful to until his death. This also makes him an atheist, since the modern philosophy shifts the focus of doing and thinking from God to man, with Fowles finding himself in a Godless world, where a man "can be interpreted according to his forsakenness or his independence", as Hanna Arent sees it. (Arent, 2013:13). In one of his interviews, Fowles claimed that, for him, Sartre's way of thinking was the most challenging one. Still, one of his definitions fits *The Magus* rather nicely, since it says that "the existentialist movement defines the man on the basis of his doing" (Cohen-Solal, 2007: 365), that "there is hope solely in his doing, and that the only thing that makes it possible for a man to live is the very act of doing" (Cohen-Solal, 2007:365). According to Fowles, however, the biggest influence for him were the conversations about the Existentialists and authenticity, ones he led during the time spent at the university just like Nicholas Urfe, the protagonist of the novel.

"It corresponded to feelings inside myself that I think would have emerged anyway, indeed had already emerged, if confusedly, but were certainly quickened by the existentialist writers"(Baker,1989).

However, Marxism and Existentialism have appeared recently, as well as a strong criticism of the Catholic Christians. The Existentialists can be divided into two main groups: the Christian one and the Atheist one. According to their views, though, God's presence does not significantly affect the changes in one man's life. "In the new, Godless world, the role of the Lord of Existence, of being, is, so to say, imposed on the man". A certain kind of freedom is forced on the man-Sartre himself says that a man is condemned to be free" (Cohen-Solal, 2007:365). The man did not create himself, and still, he was given the freedom of choice and the absolute necessity of taking responsibility for his actions and choices. Sartre believes that not making a choice is also an act of choosing. Every action, or the lack of it, has certain consequences, reactions, and it

affects us, as well as those around us. This is precisely why we have to think of the other ones too, even while being free, which, according to the existentialist atheists, serves as the basis of morality and a substitute for God's Ten Commandments.

"A man free in his very essence is helplessly handed over to the natural course of things, one strange to him, to his contrary fate, which destroys his freedom". Apart from freedom, the Existentialists pay close attention to the borderline acts of life, such as death, guilt, fate and coincidence "because in all these experiences, the reality is seen as imminent, one which cannot be decomposed by the act of thinking" (Arent 2013: 11). What drives the plot ahead and is seen as inseparable from the existential philosophy- and from Fowles as an author-is the existence of choice: "The act of choosing is possible, on one hand, but the act of not choosing is impossible, on the other. I can always choose, but I must also be aware of the fact that, by not choosing, I also choose". (Jean-Paul Sartre, 1981: 278). One of Fowles's short stories, *The Wall*, depicts what is regarded as Sartre's philosophy in a matter of a few pages only. Three men on a death row are waiting for the execution of their sentence. Finding themselves in a *fait accompli* kind of a situation, they have the right to choose the way of facing the firing squad and the way they die-with dignity, concealing their fear and the omnipresent human dilemma of what comes after, or without it, by completely giving themselves over to the ridicule of the enemy.

The existentialist understanding of freedom and freedom as a motif in *The Magus*

The world wants us caged, in one place,

behind bars; it is very important we stay free. (Fowles)

Freedom is the most commonly used and misused word. No matter how often uttered by the contemporary man, it is rarely found as a thing learnt from experience. Freedom itself, as well as the level of its presence or absence can be regarded differently. Slavery is not depicted by chained arms and legs only-it can be found in the spiritual world as well. "The freedom of spirit is a holy symbol, its meaning cannot be related to the temporary or transit forms of this or that period. But, freedom within the social, political, even cultural sphere has stopped inspiring, everyone is sick of it and no one believes in it anymore. We live in the era of reduction of freedom. Freedom is distorted. It has become a conservative principle and it conceal a man's slavery rather often" (Berdyayev, 2006: 27-28).

In his novels, Fowles accentuates the freedom of the individual in accordance with the existentialist philosophy. This freedom is not portrayed by the physical capabilities or incapacities, but by the freedom of the mind, ideas, choice and spirit Berdyayev talks about. It is freedom "sui generis, limited, conditioned, confined" (Abanjan, 1967:55) by the freedom of the others which needs to be qualified as well, but also by the the choices and possibilities. That is exactly what the protagonist's quest is based on in *The Magus*. Nicholas Urfe believes that everything is in Conchis' power, as is the case with Prospero in *The Tempest*, without realising that the game adapts to his choices, decisions and acts. Because "the man is thrown into the world and responsible for everything he does." (Sartre, 1981: 268). That is a life lesson that Fowles wants to teach both Nicholas and the reader.

"It was always meant to set questions rather than give answers — like a Rorschach test... no "right reaction", no one correct solution to all the clues. (...) Conchis is not meant to represent God, but the human concept "God"— an important distinction" (Vipond, 1999: 27). Николас представља човека уопште, што је наговештено и његовим презименом: "Urfe stands for Earth — Everyman" (Vipond, 1999: 27).

Freedom does not mean just freedom of choice, but the choice itself as well. Nicholas has accepted the game by his own free will/choice and wants to stay in it, which is a fact confirmed by his own thinking: "I felt a sudden rush of fear because of last night. It is all over. They have all disappeared, forever" (Fowles, 1994: 270). What Nicholas needs to learn and realise is that freedom is "bound to bring about a positive creative act". Still, we are not limited by other individuals only. Fowles claims that freedom is cruel (Fowles: 1994: 443), it demands responsibility, action, but also acceptance, adaptation and coming to terms with the situation. "Learn to smile, Nicholas" (Fowles, 1994: 443). That reaction, that smile "is not so much an attitude one can have towards life, but the very cruel nature of life, the cruelty whose avoidance we cannot even opt for since it is human existence (Fowles, 1994: 443)". A man is always given the freedom of choice, and every chosen path has certain consequences. It can be said, though, that freedom always exists in that spiritual, mental segment. If nothing else, it is more present than in the material world. "Utter freedom exists for the spiritual life only, for the human mind and consciousness, the intimate life of the individual" (Berdyayev, 2006: 33). The author offers an explanation for this by claiming that freedom is "inseparable from the being itself, it is rooted in nothing, in the abyss, in the non-being. (Berdyayev,

1991: 82). Another Existentialist, Nicholas Abiniano claims that human freedom is limited by the choices, that is, the conditions created separately from the man himself. That human freedom is what determines the good and the bad.

"We can always say no to evil, no matter how limited our choice is. And we can always say yes to the good. Both good and bad will to some extent depend on that yes or no of ours. The freedom limited in that way, determined by the conditions and obstacles of every kind is the type of freedom typical for the human being" (Abiniano, 1967: 56).

Consequently, it is all up to Nicholas-he chooses to leave Alison, to go to Greece, to go to Burano even though he has been warned, to continue playing, because the continuity is solely in his hands. It becomes clear how dependent on Nicholas' choice the game is when he comes upon a number of changes in the scenario in the hidden chambers of the actors, Julie/June and the other ones as well. Fowles send the message that "freedom means choice" (Abiniano, 1967: 57). The most striking situation in which Nicholas has a choice is his trial, when he is given the option of punishing Lily/Julie by whipping her, in order to release his own fury for all the deceptions, lies, games and fears. Nicholas is, at this point, closer to the goal he was led to by the teacher, Conchis, and it seems that he starts to understand the role he has been given. "The better you understand freedom, the less you own it." (Fowles, 1994: 432).

If we realise that we are equally blessed and confined by it (freedom) or maybe even punished, it will be clear to us that there is only one way a man can reach the absolute truth, the truth Nicholas is looking for-it is simple, easily reached, it is at everyone's grasp, it consists of the direct knowledge of oneself" (Fowles, 1994: 246).

"And my freedom was in not hitting, no matter what price I paid, even if the remaining eighty parts had to die within me, no matter what the gazing eyes thought of me, even if it seemed that I forgave them, as they prophesied I would, that I was indoctrinated, that I was their fool" (Fowles, 1994: 246). Even though Nicholas thinks that the game is over after this, it does not finish, however. One of the more significant choices-later on-will be the offered suicide, which Nicholas will consciously decline because he does not want the real death, but the symbolic one. By the end of the novel, by his next encounter with Alison he does not understand that the choice does not lie in the game only and that the game depicts reality, real life, that every next step depends on us, our deeds and our respect towards someone else's freedom. It is what Choncis also tries to tell him when they talk about Lily's problem with schizophrenia. At that point Nicholas still does not realise that Lily's recovery is a symbolical representation of his own recovery. "It is with this situation that I want to make this poor child see that her problem lies in the fact that she lives in artificial circumstances which we are here creating by our joint effort. Her first, healthy step towards the normal will be the day she stops and says. This is not a real world. These are not real relationships" (Fowles, 1994: 237).

That poor child, who needs to realise that the relationships prepared for him are not real and that things do not take that course in real life, is Nicholas. The final goal is to see what lies behind the appealing portrayal of a naive and innocent Victorian girl, and that it is the very thing he needs to embrace and accept without wishing to change it and without yearning for the unknown. Conchis says that the chances for the "poor child" to recover are slight, but that they exist. He still talks about Nicholas. Nicholas is the chosen one, one of many, but he himself cannot affect it in any way. "You are chosen by coincidence. You cannot choose yourself" (Fowles, 1994: 75). He is chosen because he encompasses the traits of two types of people that Fowles sees in this world: the Collectors and the Creators.

"[...] in the case of d'Urfé rather than classes of people, the "collector" and the "creator" represent deep human traits to be met with simultaneously in the same person. This point is crucial, for it explains why Miranda is unable to "teach" Clegg while Conchis succeeds in his teaching of d'Urfé" (Onega, 1986: 75).

Nicholas has the possibility to decide which path he wants to take-whether he will become and remain a complete collector, or turn towards the other type of people and take complete responsibility for his deeds. The first step is self-consciousness, followed by the taking of complete responsibility for the existence of what we are (Sartre, 1981: 263). Miranda, the heroine of the Collectors, fails to reach her physical freedom due to her inability to communicate with Clegg. She is, in some way, given the role of the teacher, the magus, but she fails to understand the way the consciousness works, as well as the world her student lives in, she does not realise that he lives in a fantasy world of unrealistic relationships and that her role is to turn his attention towards those relationships, to bring him to the finishing line. It all ends with her freedom of speech, art and physical death. Understanding, realisation, and catharsis do not provide the protagonist with the solution, the clearing of the mystery and the ending of the quest. Aleksandra Jovanović talks about epiphany as something that does not cause utter satisfaction which actually happens to Nicholas. It "only opens the possibility for new epiphanies. The function of

epiphany is to point the protagonist's, and the reader's aspiration towards the discovery of the mysteries" (Jovanović, 2007:35). The trial scene is the epitome of waiting and patience. Because "every little thing on the isle of Burano is a scene for Nicholas, an Ariadne's thread that leads to freedom and freedom is the return to the inner existence, subjectivity, character, freedom and spirit" (Berdyayev, 1991: 99). "When the actors retreat after the trial, Nicholas has to learn to love without inflicting pain and to acquire the archetypal energy he has discovered in order to be ready for the key events of his transformation, an encounter with the Goddess-his real anima Alison" (Jovanović, 2007: 174).

Fowles creates characters-collectors as a response to the existence of the people who break the freedom. "The collector is thus the most unimaginative being of all because he fails to grasp the fullness and the unforeseeability of life" (Jovanović, 2007: 70-71). One of such characters in *The Magus* is Alphonse de Deukan, to whom hoarding was a way of life. His collecting was made up of objects. Nicholas Urfe, however, has a collecting consciousness as well because Fowles regards those who collect people as collectors, too. Such is the case with Clegg from *The Collector*, where this act is brought to the point of nakedness. Nicholas „collects“ girlfriends by not involving himself in romantic relationships, so the girls are just a kind of a succession to him. They are all, either physically or metaphorically, collecting people. And by classifying them, they actually empty them and deprive them of their content. Having left Burano, Nicholas goes back to his collecting habits by sticking little Joe to himself while waiting for Alison and paying for her company, to lessen his loneliness and make the waiting bearable, neglecting the possibility that Joe might really fall in love with him, which actually happens. By doing this, he still inflicts pain, classifies, makes her worthless and deprives her of the content. The Conchis guides Nicholas through the God Game by narrating different stories to him. They are all related to the upcoming events and aim to serve as some kind of a mirror to Nicholas. The most strikingly depicted story in terms of freedom is one dating back to the period of the Second World War, especially for Nicholas, for whom the scene was arranged face to face. A compelling scene of the strength of a totalitarian, oppressive regime is shown, as opposed to the will and the freedom of an individual. The existentialist Berdyayev points out the importance of the role of character, because the being is abstract in itself. "Character is more important than being (...) Getting to know the character and freedom is connected to personal understanding, will and activity" (Berdyayev, 1991: 82-83).

On the opposite side of character is the regime, the system represented by Wimel, a ruthless, merciless person with no sense of guilt. He is given the role of God, he is the one who offers a choice-either using violence on another human being, to dirty his hands with another one's blood, inflicting pain and perhaps liberating other eighty lives or staying consistent and sacrificing his own and someone else's life. "Where there is violence there is no freedom because these two principles cancel each other out. One could think (we would not neglect that possibility either) that the one using violence is free to choose his own behaviour, but (...) by opting for the forms of violent behaviour, the man loses his humanity, his own self and becomes the prisoner of his beastlike nature" (Varnica, 2012: 5).

The deprivation of all forms of individuality was typical for the concentration camps and the national-socialist ideology which becomes the central point of the occupation of the Greeks on the island of Farkos, and Conchis's role as a mayor. This was also the rule applied to the German soldiers as well-the deprivation of character equals the deprivation of freedom and spirit, and that empty content is further used as one sees fit. This is what Fowles illustrates in the scene where Wimel, as an executor, does not carry his tasks out by using his hands, but his position. "Maybe that is the reason he could impose himself so strongly as a black deity. Because there was something more than human in his spells. The real evil and true monstrosity of the situation thus lies in other Germans, those lieutenants, corporals and soldiers less crazy than he himself was, who stood there silently and regarded this exchange" (Fowles, 1994: 362). Nipping individuality in the bud means "destroying spontaneity, the man's power to start something new based on his own powers" (1998: 462).

"Ghastly, human-like marionettes start to appear instead, all of them behaving as the dog from Pavlov's experiment, utterly predictable, that is, even while heading towards death, doing nothing else but reacting. That is what the real victory of the system over man looks like" (Arent, 1998: 463). The regime is the only meaningful thing there is. The trapped partisan does not behave the way the system would like him to. Even after a horrendous torture, he insists on one word only-freedom. "In my world, life had no price. So worthy was it that it was regarded as literally priceless. In his world, however, there was only one thing that had such a priceless quality: eleutheria. Freedom. (...) I saw a person in the square who had the freedom to choose and to publish it. The defense of that freedom was more important than common sense, self-preservation, yes, more important than my own life and the lives of eighty hostages" (Arent, 1998: 363).

The situation that fate puts us in always offers the possibility of choice, and it is up to us to make the final decision. It is our deeds/actions that reveal our authenticity. "The man is responsible in front of himself and the others, but as the free ones

only, those who have freely chosen their act and do not regret it. Freedom is complete, limitless and absolute, since it depends on the self (authenticité), one's own choice (choix) and draft (projet, Entwurf) of the human act" (Pejović, 1979: 117). In this story, Conchis opposes the whole regime, ideology, enemy and teaches Nicholas the importance of our authenticity as human beings. "The human race is not important. We must not betray ourselves (Fowles, 1994: 113). He teaches him something else, too—that the lack of bravery to get to know oneself and respect ourselves causes the loss of freedom, both for us and the others. "The tragedy is not that one man is brave enough to be evil, but that millions of people are not brave enough to be good" (Fowles, 1994: 113).

It is at this point that Sartre's influence can be seen, since he claims that "by choosing myself, I choose humanity", reckoning that by remodelling the reflection of our own character we remodel the future generations and our own visions of the world. The man needs to discover, see and respect the others, and later on, to discover them as "the condition of his existence" (Sartre, 1981: 276).

Female protagonists and the motif of freedom

John Fowles is regarded as someone who favours female characters in his novels. There are few of them in *The Magus*—Alison, Lily/Julie, Rose/June and Mrs De Seitas. Their role, when compared to the content, is a more passive one.

Beneath the aloofness which seems to signal a poised self-sufficiency, the Fowlesian heroine is a passive figure, invariably compromised and controlled by the strategies of the text that contains her" (Cooper, 1991: 11).

In one of her conversations with Nicholas, Lily points this situation out. "We are, if you like it, a few steps further than you in the labyrinth. Which does not mean that we are any nearer to the centre than you" (Fowles, 1994: 197). On certain occasions she resembles Ariel from *The Tempest* more than Miranda. Sometimes, she is only there to set or prepare the scene for the further development of events. Alison, Nicholas' anime, has a similar role. She appears in the first part of the novel only, as one of the striking characters, occasionally cropping up in its middle and end parts, but with a significant role for the further development of the plot. The plot is woven around her, but she does not take part in it directly.

At one particular moment during his quest, it seems to Nicholas that Lily de Seitas is the key to the riddle. A mysterious and graceful mother, one who knows and teaches. She was originally intended for Conchis' role, but Fowles abandoned the idea. Lily de Seitas remains a passive contestant of the metatheatre and Nicholas' journey through the existentialist quest, especially after being submitted through content to Conchis as his mistress. Despite that, women are portrayed as strong characters, able to control themselves, preserve the knowledge and transfer it. The male is on the path of self-awareness and the female protagonists are the ones helping him "You are still becoming. You still do not exist" (Fowles, 1994: 94).

Fowles himself confirms that he respects the female principle and that women are bigger heroes of our time than men are:

"I have great sympathy for the general feminine principle in life. I find very little "heroic" about most men, and think that quality is far more likely to appear among woman in ordinary, non-literary life. [...] In terms of history men have failed; it is time we tried Eve" (Baker, 1989).

Pamela Cooper claims that freedom and independence are not always as ambiguous as they might seem. "This is particularly true when the quester after liberation and self-determined identity is a woman" (Cooper, 1991:10). In *The Collector*, for example, Miranda tries to help Clegg/ Cannibal to dispose of the inhuman part of his nature, regarding herself as superior and free in relation to him. Her physical freedom is undoubtedly questioned, while in her own world, one Clegg took her away from, she depends on another male, who teaches her and shapes her emotionally.

Jung believes that it would, first of all, be necessary to accept the inner realities in order to come to terms with the problem of the anima for real. The anima serves as a kind of compensation for the male consciousness, while the Animus is the compensating figure for the male character in women. "If the outside world is just a phantasm for me, how, then, can I put serious effort in creating a complicated system of relationships and adaptations" (Jung, 1971: 271). Conchis was given the role of the teacher, the magus who will help the protagonist—the seeker to get to know his "inner realities", and one of the roles of the female protagonists is to carry out the initiation, the separation from the previous life, from the mother and childhood, that is, a rebirth and setting up a new view of the world, since Julie is Nicholas' false anima. Julie/ June/ Lily de Seitas/ Alison—All of them are authentic and self-aware, this not being the case with Nicholas. According to Sartre, the man becomes a slave to the other, if, in the depth of his being he depends on another one's freedom (1981).

"When all the public things slide into the abyss of slavery, the only option available to the man is to try to compensate his complete lack of freedom in all walks of life by the freedom of the most intimate and individual sphere, of utter privacy: by limitlessly owning other bodies, he is „totalised“, as if he is delving into the very origin of the being, as if he manages everything" (Pejović,.... 119). The body and the consciousness are one thing, but the problem arises when there is insincerity. "It is a delusion, self-deception, self-sacrifice, in one word, non-distinctiveness" (Pejović, 1979: 120).

Suicide within the existentialist philosophy and as a motif in *The Magus*

As it has been explained earlier on, the existentialists deal with the border cases of philosophy such as death, guilt, fate, coincidence and suicide.

"For the existentialists, suicide was not a choice shaped mainly by moral considerations but by concerns about the individual as the sole source of meaning in a meaningless universe" ("Suicide", 2017).

Camus gives a fair amount of space to this phenomenon in his work *The Myth of Sisyphus*.

"Sisyphus heroically does not try to escape his absurd task, but instead perseveres and in so doing resists the lure of suicide. Suicide, Camus contends, tempts us with the promise of an illusory freedom from the absurdity of our existence, but is in the end an abdication of our responsibility to confront or embrace that absurdity head on" ("Suicide", 2017).

Camus claims that the meaning of life is the most important question. (Camus, 1998, 9). Determining whether or not there is any sense in living means answering a profound philosophical question. (Camus, 1998, 9). Camus believes that in the cases of such an inspection, the judgement of the body is as important as the judgement of the mind and that the body retreats in front of the destruction. We get used to living even before we acquire the habit of thinking (Camus, 1998, 12). So, there is a discrepancy between thinking and living, which means that life and reality do not always coincide. For another existentialist, Jaspers, thinking plays an important role, one by which "it has the function of alluring the man into certain experiences, experiences in which only the process of thinking (...) will go through a breakdown. That breakdown brings about a providence which makes the existence aware of the fact that a catastrophe is imminent and that it does not owe itself to itself only, as is the case with freedom. It is important to direct oneself towards communicating with the others.

In *The Magus*, the act of suicide is described by Nicholas Urfe as the person who has already gone through the story the reader has yet to hear. Nicholas definitely did not think so thoroughly at the moment the desire for suicide cropped up, as Nicholas, the narrator and the detoxicated protagonist-the seeker, does. It is exactly what this effort causes, accentuating the thinking process and communication with other people. Nicholas' inner realities have not come to the surface yet, his perception of life and the world around him is, at that point, still a product of fantasy. The act of attempting suicide is the first step towards the quest for authenticity.

Let's take a look at a somewhat different existentialist, more prone to religion, that is, Christianity. Nikolaj Berdyaev believes that committing suicide is not so easy and that we need an enormous amount of determination for that feat "But, in reality, suicide does not reflect the strength of human character, it is executed by an inhuman force that carries out that scary and cumbersome task". He (the man) is obsessed with the darkness that has taken over him, and he has lost freedom" (Berdyaev, 2011, 17). If we neglect his orientation towards God, one can say that Berdyaev has a certain kind of attitude in the moments when a man is trying to commit suicide, one which is similar to the other existentialists'. "To overcome the wish to commit suicide means forgetting oneself, thinking of the others and within the others" (Berdyaev, 2011: 12), that is, a man should learn to step outside himself and his self-obsession and open up towards other people and the world, the principles that have the universal meaning.

Suicide as a motif in *The Magus* appears on three occasions. The first time, Nicholas wants to commit suicide on the island. "I belonged to nothingness, neanty, and it seemed to me that the only thing I could create was my own death" (Fowles, 1994: 53). At that moment, Nicholas Urfe unambiguously resembles Jaspers as portrayed by Camus.

"In this devastated world where the inability of self-awareness has been proven, where nothingness seems to be the only reality, despair with no shelter, the only attitude, he is trying to find Ariadne's thread that leads to divine secrets" (Camus, 1998: 26).

Nicholas thinks that he has found that thread and compares Ariadne to Lily/Julie. "I would not switch places with anyone in this world, now that I have found my Ariadne and held her hand" (Fowles, 1994, 177). The way Susan Onega sees this first

attempt of suicide is extremely interesting. Nicholas puts himself into the position of self-pity where a sentence "le suis maudit" in the doctor's office, after he has been diagnosed with a sexually transmitted disease, clearly shows it. All these events, and especially his inability to take a reality check, to see the gist of the problem, bring him to the point of thinking about suicide. But he realises that he does not really want to kill himself, that he does not really want to die. It is as if he wants to attract attention, as a mollycoddled child does. "All the time I had this feeling that someone was watching me, that I was acting for someone else's benefit, that this act could only be carried out if it were spontaneously clean and moral (Fowles, 1994: 54). Upon the first reading of the novel, the feeling that Nicholas is being watched by someone creates a completely different atmosphere than the one the reader experiences after the second reading. On the first reading, we identify with the character and we really believe that Nicholas is under close inspection of someone's game, and we feel what happens is not justified. But, by delving into the analysis, we can treat Nicholas' giving up on the act of suicide as his success of not falling over the brink that is mentioned by Camus- treat it as the start of turning towards the others and not only his own existence.

"I have looked for Mercutio's death, not the real one. I wanted a memorable death, not the real one, caused by the real suicide, the death that wipes everything out" (Fowles, 1994, 53).

After that, both Nicholas and the reader encounter another suicide-Alison's. During the protagonist's quest neither the hero nor the reader know that the news about this suicide is falsified and that it is just another epiphany on this quest. Nicholas receives another succession of letters which seems identical to the original one, and is used to substantiate the made-up news about the stewardess' suicide, caused by an unhappy love story. This tragedy occurs after Nicholas has spent a few days with Alison in Greece, believing that he has succeeded in deceiving both girls, Alison and Julie, by hiding the real state of affairs from both of them, and most of all, from himself. This self-deception had to be shaken and the protagonist needed another epiphany, although a bit cruel one. Namely, Conchis plays with Nicholas' feelings ruthlessly, but if take a look at things from another angle, Nicholas is the one who is constantly playing with other people's feelings, without thinking about the mental state of those people he leaves behind.

Let's go back to Nicholas' first suicide attempt. Onega interpretes it through Campbell's terminology, claiming that his symbolic suicide can be seen as some kind of self-annihilation. This is necessary in order for him to step onto the holy ground of the Burano island. Gargoyles used to stand as guards at the door of the temples, but the verses of warning are quoted instead (Onega, 1986: 78– 79). The act of suicide represents a symbol of metamorphosis of the protagonist because he threads the part of the territory where the collapse of the mythical is felt. On the second occasion, Nicholas does not even try to commit suicide, but he is well aware of the fact that the pistol is left behind with that purpose for him. This is also a symbol. He has faced another threshold one should cross, so a new initiation is needed. Still, as it becomes clear up to this point, real death has not been the goal, neither the teacher's nor the student's, neither the first nor the second time, but the quest for the inner truths, authenticity, that is, the distinctiveness, as Pejaković calls it. The intertwining of the philosophical (existentialist) and the mythical motifs pervading the novel is more than obvious.

Conclusion

John Fowles' literary opus was a subject of many monographies, PhD theses and essays/articles in scientific magazines. His novels are on the border of modernism and postmodernism. By using experimental method, he disturbs the realistic narrative. One of his main techniques is the unfinished ending, by which the reader questions himself and has the freedom of interpretation, the freedom of looking for his own authenticity by going through the labyrinths and the mythological paths of the novel's protagonists. The ideas that Fowles does not abandon are freedom, selflessness, and the existentialist philosophy. They are the goal of his protagonists' quest, who are seen as potential mythical seekers. As an existentialist, he has mostly succumbed to Sartre's ideas, and these are indeed traceable in the novel.

That is precisely the reason why this paper deals with the motifs of freedom and suicide as borderline situations people find themselves in, which is of utmost importance for the existentialist philosophers. The open-endedness of the novel is another thing that needs to be pointed out, not only in terms of its ending, but also the interpretation itself. Fowles does not want to be categorised, and every interpretation is the correct one. For him, mystery is the driving force while the final answers are regarded as a kind of prison and have a destructive power.

References

- [1] Fauls, Dž. (1994). *Čarobnjak*. Novi Sad: Matica srpska.
- [2] Abanjan, N. (1967). *Mogućnost i sloboda*, Beograd: Nolit.
- [3] Arent, H. (1998). *Izvori totalitarizma*. Beograd: Feministička izdavačka kuća 94.
- [4] Arent, H. (2013). *Šta je filozofija egzistencije?* Beograd: Dosije studio.
- [5] Baker, J.R. (1989). John Fowles, The Art of Fiction, *The Paris REVIEW*, (Issue 111). Retrieved from <https://www.theparisreview.org/interviews/2415/john-fowles-the-art-of-fiction-no-109-john-fowles>.
- [6] Berđajev, N. A. (2011). *O samoubistvu*, Beograd: Logos.
- [7] Berđajev, N. A. (2006). *Sudbina čoveka u savremenom svetu: za razumevanje našeg vremena*. Beograd: Logos.
- [8] Berđajev, N. A. (1991). *O čovekovom ropstvu i slobodi: ogled o presonalističkoj filosofiji*. Novi Sad: Književna zajednica.
- [9] Cooper, P. (1991). *The Fiction of John Fowles*. Ottawa: University of Ottawa Press.
- [10] Hačion, L. (1996). *Poetika postmodernizma*. Novi Sad: Svetovi.
- [11] Jovanović, A. (2007). *Priroda, misterija, mit*. Beograd: Izdavačka kuća Plato/ Filološki fakultet.
- [12] Jung, K. G. (1984). *O psihologiji nesvesnog*. Novi Sad: Matica srpska.
- [13] Kami, A. (1998). *Mit o Sizifu*. Zagreb: Matica hrvatska.
- [14] Koen-Solal, A. (2007). *Sartre: 1905-1980*. Novi Sad/Sremski Karlovci: Izdavačka knjižarnica Zorana Stojanovića.
- [15] Onega, S. (1986). Form and Meaning in "The Magus", *Miscelanea*, (no. 7). Zaragoza: University of Zaragoza.
- [16] Pejović, D. (1979). *Suvremena filozofija Zapada*, Zagreb: Naklada Matice hrvatske.
- [17] Salami, M. (1992). *John Fowles's Fiction and the Poetics of Postmodernism*. London/Toronto: Associated University Presses.
- [18] Sartre, Ž.P. (1981). *Filozofski spisi*. Beograd: Nolit.
- [19] Suicide. (2017). In E. N. Zalta (Ed.), *Stanford Encyclopedia of Philosophy*. Retrieved from <http://plato.stanford.edu>
- [20] Tišma, A. (2012). *Kapo*, Novi Sad: Akademska knjiga.
- [21] Vipond, D. L. (1999). *Conversations with John Fowles*. University Press of Mississippi.

The Social Function of Sport in the Light of the Horizontal Subsidiarity Principle Between "Third Sector" and Best Practices in Italy*

Maria Cimmino

Parthenope University- Naples

Abstract

Sport is now an expression of variegated instances of which not only the subjects that formally belong to it (so-called card-holders), but all the affiliates, one need only think of the interests linked to the protection of the human personality of the individual, protected and promoted also by the state legal system and others. In this paper we intend to analyse the sporting phenomenon in its associative dimension, in the light of the horizontal subsidiarity principle, because it is thanks to this perspective that its enormous potential can be gathered in view of the realisation of what is known as the social function of sport and which embraces different themes such as the inclusion and integration, the protection of minors, education, the promotion of well-being, to the point of grasping the highest values of the Constitution, including peace, solidarity, equality and human dignity.

Keywords: Sport, human rights, horizontal subsidiarity, inclusion, third sector, private law

1. Introduction

A re-reading of the sporting phenomenon

SUMMARY: 1. Introduction: a re-reading of the sporting phenomenon. 2. Social function of sport, associations and the third sector. 3. Best practices. 4. Sport as an activity of general interest promoted through fluid legal forms.

Actually, in a globalised society the sporting phenomenon is multifaceted and complex, not only in its ordinal dimension considered from the subjective point of view of the plurality of organisations and individuals who are part of it and who are assigned in various capacities to sports practice, and from the point of objective view of the activities, and of the rules, that govern the different and varied sports disciplines.

In the year 2008 the United Nations (UN) Inter-Agency Task Force on Sport for Development and Peace defined sport as "all forms of physical activity that contribute to physical fitness, mental well-being and social interaction, such as play, recreation, organised or competitive sport, and indigenous sports and games". However sport usually includes several activities in which people of all ages and abilities can participate, by bridging social, economic and cultural relationships

In fact, in the eyes of the scholar, the "polymorphism" of sport, whose relevance affects every aspect of human life, stands out as a fact rooted in culture and social tradition, a real and widespread interest of individuals and groups, of institutions and organisations, of which not only the life sciences but also the social sciences and Therefore, the law are destined to be occupied.

Sport is now an expression of variegated instances of which not only the subjects that formally belong to it (so-called card-holders), but all the affiliates, one need only think of the interests linked to the protection of the human personality of the individual, protected and promoted also by the state legal system and others. The right to participate in sport activities has been embodied in the Convention on the Rights of the Child, in the Convention on the Elimination of all forms of Discrimination against Women and in the Convention on the Rights of Persons with Disabilities as a fundamental right.

According to the Charter of the Council of European Sports (1992): "Sport means all forms of physical activity which, through casual or organised participation, aim at expressing or improving physical fitness and mental well-being, forming social relationships or obtaining results in competitions at all levels". The above definition explains clearly the multi-skyll role of the sport for everyone in all aspect of the life.

It follows that the legal significance of the sporting phenomenon does not end with the internal sources of the so-called sports system related to its purely technical aspect, since sport is the subject of regional, state and supranational legislative functions, administrative functions of the regions and local authorities, but also the subject of regulatory private autonomy issued on a contractual basis, in the context of associations.

The sports associations are constituted by a spontaneous initiative of those who gather to pursue purposes related to the exercise of sports and/or motor activity, and they are the expression of a constitutionally guaranteed freedom, but also of the private autonomy that is expressed, for example, in the light of the art. 1322 of the Italian Civil Code in the faculty of setting up rules governing inter-private relations.

In this paper we intend to analyse the sporting phenomenon in its associative dimension, because it is thanks to this perspective that its enormous potential can be gathered in view of the realisation of what is known as the social function of sport and which embraces different themes such as the inclusion and integration, the protection of minors, education, the promotion of well-being, to the point of grasping the highest values of the Constitution, including peace, solidarity, equality and human dignity.

2. Discussion. Social function of sport, associations and the third sector.

The complexity of the sporting phenomenon is such that the interpreter now requires a change of perspective that is worthwhile to reconcile its objective dimension of organised human activity and the subjective dimension of the person's right, the form of expression of their personality, an instrument of growth, maturation and extrinsication of one's identity in society, in intermediate groups, in social formations, which deserves interventions for its promotion and instruments of protection[1].

According to European sport policy and issue as the Code of Sport Ethics of the Council of Europe (updated white Recommendation CM/REC 2009)), as the White paper on Sport (2007) and as the Communication from to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Region "Developing the European dimension in the Sport (COM 2011)" sport is regarded as a social and cultural activity that allows the individuals to know themselves better, to express themselves, be accomplished and fully develop themselves, acquire an art and demonstrate their capabilities.

In particular the reference is to the minors, to the persons with disabilities, to the immigrants, and other vulnerable or disadvantaged groups whose right to sport must be allowed as a fundamental human right, (inviolable in the light of the general provision stated by art 2 of the Italian Constitution), for example without discrimination, racism, violence, thanks to the appropriate measures to make these rights effective [2].

This need seems to be consistent not only with the profound transformations that have affected and still affect the world of sport, of which theorists and practitioners are undoubtedly called to take note [3], but also with the growing attention that legislators have dedicated to it, in particular the recent Italian case whereby legislative acts have been adopted on the subject of sporting *ius soli* (l. 20.01.2016 n.12) [4], and of third sector entities (d.lgs. 03.07.2017 n. 117) [5] also expressly including sporting entities among those operating in the so-called social economy, which includes culture, tourism and leisure, housing and social assistance.

These interventions demonstrate that by now we look at sport not only through the internal perspective of its ordering system – in other words not only as a technical fact, but increasingly as an aspect of the practitioners' lives, and much like other aspects, such as education, work, health, tourism, it must be regulated in view of the promotion of individual and collective well-being.

It seems safe to state that the expression sporting order is no longer suitable to represent the projection of sport towards society and the connection that the activities carried out in and by sports associations are intertwining with other subjects, be they public or private [6].

Currently, the associations are called to operate not only in view of the achievement of the immanent purposes of sports, but to assist institutions for the implementation of purposes of a social nature such as education, health and social inclusion, improvement in the quality of life, and psychophysical well-being, allowing the subject as an individual and in an associated form to best express their abilities. Contemporary sport is unquestionably one of the most interesting and most wide-spread human activities.

Sport is able to satisfy the most diverse needs of individuals and society, playing a significant role in enhancing human health and in promoting harmonious development of personality.

Moreover, that sport is capable of expressing the interests of generality is confirmed by the recognition of the cited principle of specificity by Union law and by the promotion of the social model of sport. In fact according to the aforementioned art. 165 of the TFEU, the European Union contributes to the promotion of European sports profiles, taking into account its specific features, its structures based on volunteering and its social and educational function, and with its action aims *inter alia* to protect the physical and moral integrity of sportspeople, especially the youngest of them.

Research evidence indicates that physical activity was a normalising experience enhances social skills and social networks with their peers. In fact, by engaging amateur sport, school and university sport, recreational sport it is possible to preserve and to promote physical and mental health [7], and several fundamental human needs like rehabilitation and education for people with disabilities.

The social model of the sport includes several important objectives: to encourage physical and mental fitness and to fight obesity through participation in regular physical activity; to foster a sense of social inclusion and integration through sport, particularly for marginalised groups; to eliminate racism and xenophobia and to create gender equality through sport; to promote greater participation in sport through physical education programmes in schools; to combat doping through education and prevention programme.

It has been observed [8] that the principle of specificity summarises the set of individual and essential aspects of sport that distinguish it from any other activity and, therefore, its multifaceted nature that leads it to perform a series of functions for those who practice it, such as social, cultural, educational, recreational and as a safe-guard of health.

Moreover, taking into account the overall sporting phenomenon, with the European Parliament Resolution of 2 February 2012 on the European dimension of sport, the European Commission reiterated the relevance of the sporting phenomenon from a pedagogical and cultural point of view for integration purposes, regardless of gender, ethnic origin, religion, age, nationality, social or sexual status, considering that sporting activities have widespread benefits in terms of social, cultural and economic health, as an expression of positive values such as correctness, respect and fair play.

The European Commission, in its White Paper on Sport, specified that "in the sport practiced at the basic level, equal opportunities and access to sporting activities can be guaranteed only through strong public participation", urging Member States to finance sports organisations, to ensure more adequate sports facilities in order to improve the quality of sports services and to ensure the effectiveness of access to sports facilities.

The complex organisational structure of the sports system appears to be particularly suitable for this purpose, due to its widespread presence on the national territory also considering the statutory purposes of certain sports associations, such as sports promotion organisations and basic sports associations. These bodies are aimed at the promotion of sport for all, causing widespread benefits on society linked to the social function of sport, starting from a healthy education, in accordance with the provisions of UNESCO's International Charter on Sport and Physical Education.

A confirmation of this reconstruction is undoubtedly offered to the interpreter by the aforementioned recent Italian reform of the Third Sector, a term used to encompass entities that are neither public institutions nor companies in the strict sense, that is, preordained in their activity for profit (reality) which represent, respectively, the First and Second sectors), but which fully reflect the constitutional dictate that identifies the broad concept of "social formations" i.e. entities that are simultaneously the expression of freedom of association and spontaneous aggregation phenomena, aimed at general interest and social utility. These organisations can be defined as 'non-profit and voluntary organisations that have a primary mandate to provide recreational and competitive sport services to their members.

The legislator of the Third Sector reform, in fact, uses the expression activity of general interest to cover a wide range of very heterogeneous activities, including sports activities; in fact the art. 2, paragraph 1, lett. u), of the legislative decree n. 112 of 2017, expressly includes, "the organisation and management of amateur sports activities".

Amateur sports bodies may (not should) also acquire ETS qualification, but the reform of ETS looks at associations as a key instrument operating beyond the traditional division of responsibilities between the State and autonomy, promoting a new model of cooperation and intervention capable of aspiring to implement a new type of ideal goal aimed at promoting social rights, in the highest sense, and more generally in the promotion of individual and collective social well-being. In fact,

the inspiring ratio of the reform moves in the sense of overcoming the traditional public-private contrast, which has been diluting for some time, but also between state and market, through a recognition of the fluidity of the forms for the exercise of provision of services operating in the social sphere.

It is possible to underline that in this case private non-profit organisations are involved in developing public services by promoting activities socially useful to common good [8] as the healthy lifestyle, the welfare of people

It is a tool for the broad implementation of constitutional pluralism, as a plurality of formations, associations and organisations; thanks to the principle of horizontal subsidiarity they are allowed to operate also to pursue general public good and Therefore, not exclusively private or individual.

Moreover, the Italian government in the wake of this reform has approved a bill, linked to the 2019 Budget Law, which provides for a series of governmental delegations to implement a reform in the field of sports, and among other things is expected to establish a school sports centre for schools of all levels, according to the procedures set forth in the Third Sector Code.

As far as the social value of sport is concerned, it is fully consistent with the law on the so-called *iur soli* sport, which establishes art. 1 that "young people aged eighteen years or under who are not Italian citizens and who have been residing in Italy regularly at least since the age of ten can be enrolled in sports clubs belonging to national federations or associated disciplines or in associations and sports promotion organisations under the same registration procedures as Italian citizens".

While even before the entry into force of the law n. 12/2016 foreign minors were also allowed to take part in non-competitive sporting activities, the law nowadays allows the enrolment of said minors for the purpose of competitive activity.

3. Results. Best practices for integration

The main tool that can currently be used by associative organisations to achieve social goals in and with sport are best practices [9].

In Italy CONI is encouraging and supporting integration into national sport organizations; he is adopting important innovations to provide participation opportunities for immigrants.

The Ministry of the Interior and CONI promote a project titled "Dissemination, practice and implementation of sports activities for foreign minors hosted by the national reception system", funded under the "Integration and legal migration" objective of the National Program of Fund for Asylum, Migration and Integration (FAMI) 2014-2020, the aim of the project being to foster the integration of young migrants in the different territorial realities of our country through sports practice.

The project was launched in 2017, in experimental phase, in pilot regions. Subsequently, after the experimental phase, it was extended throughout the national territory and has now caught the attention of the International Olympic Committee (IOC), who wishes to include it in the best practices of the Olympic Committees.

The CONI has also signed a program agreement with the Ministry of Labour starting from 2014 on the theme "Sport and Integration" to start a course of best practices aimed at collecting, evaluating and disseminating positive experiences in the field of sport and integration, aimed at encouraging the inclusion of first and second generation young people, coming from a migrant background, and aimed at combating intolerance and discrimination in access to sport, through the enhancement of diversity. The promotion of integration policies, while respecting the values of the Italian Constitution, thus becomes a priority tool to encourage the coexistence of Italian and foreign citizens and allow their participation in the economic, social and cultural life of the country.

Thanks to this agreement, the Sport and Integration Manifesto was drafted, drawn up in 2014 by a specific Technical-Scientific Committee, containing guidelines for all operators and members of the sports world.

The recipients of this Manifesto are all those who, directly or indirectly, are involved in promoting sporting experiences for children and young people, as sports and sports-related organisations, including sports federations and governing bodies, physical education associations, individuals, including families, parents, teachers, and coaches.

The Manifesto, according to the Article 31 of the CRC that recognise the right to rest and leisure, to engage in play and recreational activities appropriate to the age of the child, promotes some objectives such as respecting the rules, guaranteeing equal opportunities for access to sport, banning physical and verbal violence, combating discrimination and sporting disloyalty. This document also promotes the principle of sporting citizenship, in order to guarantee access to membership and championships, of any discipline and level, to those who were born in Italy from foreign parents.

Thanks to a campaign provided for in the agreement, the manifesto has been disseminated in schools with the participation of sports champions in communicating the discourse that sport, through the driving role and the educational values that animate it, contributes effectively to the process of dissemination of the culture of respect for others and for diversity.

The aims of the above Manifesto should lead to voluntary adherence to its principles by self-regulation choices [10]; for this the private autonomy of the sports associations and sport-related organisations reason must be promoted.

4. Conclusions: sport as an activity of general interest promoted through fluid legal forms and intermediate organisations on the basis of the principle of horizontal subsidiarity

Ultimately, the principle of horizontal subsidiarity [11] is at the basis of the new vision of the juridical relevance of the sport phenomenon and of the recognition also at the level of the legislative policy of this social vocation.

Horizontal subsidiarity recognises and promotes the intermediate organisations of civil society for their ability to manage interests with social importance in order to satisfy needs that cannot be met, at least not for all, on the basis of economic capacity alone and Therefore, with the structure of for-profit business.

We are thus witnessing the creation of voluntary bodies with legal autonomy which they are able to adopt rules and norms under the scope of the civil law that have a legal impact in a legal framework imposed by the State; at the same time they are in some way hybrid with respect to the traditional public/private contrast, emerging entities foreign to public administration, but whose purposes are not completely different from some of those of public administrations.

The doctrine [12] underlines that "private individuals can take responsibility not only concerning activities related to their individual interests, but they have the qualifications, and also the resources, for carrying out activities that fulfil general or public interests. In this regard, it is worthwhile to note as the prospect of an "openness" of the administration horizontally applies, at least for the cases covered here, only to "functions and (...) tasks of social relevance". Therefore, the individuals involved (although vaguely indicated) are the most expressive ones of civil society, namely "family, associations and communities".

Certainly the provision of services and the performance of the material activity are among those activities that fall within horizontal subsidiarity and which are more easily linked to the action of the third sector subjects, called the transition from welfare state to welfare society. We can think of physical education and training in sports, which can be considered educational services under Article. 1, c. 1, lett. a), Law 381/1991, even if carried out outside schools, provided that they are inspired by educational objectives, as well as of sporting practice for people with disabilities, or sport carried out for inclusion and integration purposes and so on.

There is a substantial neutrality of the legal forms with respect to the economic content and Therefore, to the activity carried out, in fact even non-profit organisations exercise economic activity through the allocation of profits produced to the pursuit of altruistic purposes without distributing them among the members. We can say that national and local public institutions may implement specific financial programs[13] to develop "sport for all", but also sport associations are involved in the realisation of the general interest linked to sporting activities, by using the instruments of the private law.

It should be noted that the sporting phenomenon is now an occasion for the implementation of constitutional values, in particular those that pre-order the economic initiative for the purposes of social utility pursuant to Article 41 of the Constitution which is not only a limitation of private initiative but is one of the goals, and in this sense is today the foundation of the social function of sport carried out by associations.

As a matter of fact, the latter as third sector organisations enter fully into the social economy, that is to say, in that economic activity also having a business role but of a social and not-for-profit nature.

The statutory goals of these institutions are suitable for the diffusion of a renewed value of sport as bearers of values such as solidarity and collaboration, values that transcend in itself the same respect for the rules, which is not an end in itself.

In conclusion we can say that the positive impact of the sport phenomenon on society depends on the full implementation of the freedom of association according to constitutional principle of the pluralism, following social model oriented towards autonomous citizenship.

Sport as a right of all citizens and a social value; sport activities can improve the quality of life, but actually the global society needs a new model of the sport based on the collaboration of various public and private non profit organizations like families, schools and associations, to promote a sane body culture development and individual and social well-being. The sports subjects become a full expression of that civil society and corporate citizenship [14] of which the Council of State speaks of (see opinion, 1440/03 Ad. 25-VIII-2003) to designate all those organisations operating in the so-called social private sector carrying out initiatives that involve democratic, reciprocal and supportive social relations, also of economic importance, and which cannot be traced back to tout court market relations nor to the schemes of the individual/state authoritative relationship.

References

- [1] Moscarini, Competenza e sussidiarietà nel sistema delle fonti, Padova, 2003
- [2] A.G. Parisi (2009). *Sport e diritti della persona*, Giappichelli, Torino
- [3] A.Lepore. (2015). "Fenomeno sportivo e autonomia privata nel diritto italiano ed europeo", *Actualidad Juridica Iberoamericana*, 2, 133-174
- [4] Best Practices in Sport: A Vehicle for Positive Values and Ethical Conduct?
- [5] Scott. (2002). "Private Regulation of the Public Sector: A Neglected Facet of Contemporary Governance", *Journal of Law and Society*, 29, 56-76
- [6] Code of Sport Ethics of the Council of Europe (updated whit Recommendation CM/REC 2009)), White paper on Sport (COM/2007)
- [7] Communication from to the European Parliament, the Council, the Europea economic and social Committee and the Committee of the Region "Developping the European dimension in the Sport (COM 2011) White Paper on Sport (2007)
- [8] De Felice. (2008). *Principio di sussidiarietà ed autonomia negoziale*, Napoli
- [9] Donati. (2012). Horizontal Subsidiarity in the Italian Legal Order, *Occasional Paper*, 15, 5-55
- [10] Frosini. (2008). Sussidiarietà (principio di) (diritto costituzionale) (voce), *Enciclopedia del diritto. Annali II*, Tomo II Giuffrè, Milano
- [11] European Council (2000) Declaration on the Specific Characteristics of Sport and Its Social Function in Europe, of Which Account Should Be Taken in Implementing Common Policies Presidency Conclusions. Nice European Council, 7-9 December 2000
- [12] Cafaggi. (2006). "Self regulation in European contract law", *EUI Workign paper*, 2006, 43, 1-44
- [13] Vari. (2016). "Profili costituzionali del cd. ius soli sportivo: il tesseramento dei minori stranieri tra disciplina legislativa e drittwirkung dei diritti fondamentali". *Rivista di diritto sportivo*, 2, 215-225
- [14] Mazzei (2017). "Carattere privatistico e transnazionale dell'ordinamento giuridico sportivo", *Federalismi.it*, 10, 1- 17
- [15] G. Vittadini. (2002) a cura di, *Liberi di scegliere. Dal welfare State alla welfare society*, Milano
- [16] P. Soares, H.L. Antunes, A. Bárbara, C. Escórcio, P. Saldanha, (2016). "The public interest of sports at non-profit sports organizations that are supported by the government", *Rev Bras Educ Fis Esporte*, (São Paulo). 3. 689-702

-
- [17] Zylberstein.(2008). La specificità dello sport in ambito europeo, *Rivista di diritto ed economia dello sport*,1, 59-70
- [18] J.L. Chappelet, (2010). *L'autonomie du sport en Europe*. Publications du Conseil de l'Europe, Strasbourg
European Commission (2011) Developing the European dimension in sport, COM (2011) 12 final, January 2011
- [19] Janssen I, LeBlanc AG. (2010) Systematic review of the health benefits of physical activity and fitness in school-aged children and youth. *Int J Behav Nutr Phys Act.* 7-40
- [20] Kelly L. (2011). "Social inclusion through sports-based interventions?", *Crit Soc Policy.*;31,126-50.
- [21] Di Nella. (2010). "Lo sport. Profili teorici e metodologici", AA.VV. a cura di L. Di Nella, *Manuale di diritto dello sport*, ESI Napoli
- [22] C. Vitucci, (2008) "La tutela dei diritti umani nello sport e la promozione di essi attraverso lo Sport", *Riv. Fac. Scienze Motorie Università di Palermo*, 1, 73-84
- [23] Tonk, Nagy Mehesz, V. A.Voicu, (2010), Autonomy of Sport Policy and Sport Activities in the European Union: connection between human right and sport, *Acta Universitatis Sapientiae, European and Regional Studies*, 1, 103-120
- [24] Waardenburg.(2016). "Which wider social role?An analysis of socail roles ascribed to voluntary sport club". *European Journal for Sport and Society*, 1, 38-54
- [25] Pignalosa M., (2017). "Ordinamento sportivo e fonti private". *Jus civile*, 6, 646-673
- [26] R. Rametta. (2018). *Profili civilistici della disciplina degli enti del terzo settore*, Aracne, Roma,
- [27] Research project "Progresso sceintifico e tecnologico, mercato e nuovi diritti"- Bando di sostegno alla ricerca individuale per il triennio 2015-2017 Università Parthenope - Annualità 2017 D.R. 793/2017
- [28] S. Staiano, (2006). "La sussidiarietà orizzontale, Profili teorici", *Federalismi. it*,5, 1-29
- [29] S. Weatherill. (2017).*Principles and practice in Eu sport law*. Oxford University press. Oxford
- [30] Serra M. F. (2017). "Piero Alberto Capotosti. Un'incursione nel diritto sportivo", *Nomos*, 2, 871-887
- [31] Tampieri A.(2006).*Recensione, L'attore sportivo. Azione collettiva, sport, cittadinanza*, Bari

Memory, Forgetfulness and Narration: Reminiscence to Recall Victims of the Armed Conflict in Colombia

Alejandro Riascos Guerrero

Corporacion Universitaria Minuto de Dios, Centro Regional Pasto 1

Abstract

As a result of years of internal armed conflict in Colombia, the people who suffered and still suffer from conditions of war, recognized as victims or survivors, even support the effects of traumatic events in violent acts. Countless efforts from research and psychological intervention, face the demands of the subjects that make up the populations of victims who are spread throughout the country. This paper presents preliminary, some reflections resulting from the literature review of research papers working to build historical memory as an interventional device and research that allows to establish parameters really necessary to build peace in the territory Colombian, as well as approximate the conditions and needs that victims have the psychic level subjects and the communities where they are organized. A critical reflection is proposed, starting from the psychoanalysis theory, Which Allows to formulate a position for research in Differentiated esta field.²

Keywords: Memory, psychic trauma, victim, armed conflict, narrative, history, psychoanalysis.

Introduction

The socio-political situation and scenario it goes across Colombia, given the history of internal armed conflict, involves a number of needs for the communities that have borne the brunt of the war. While on reparation for victims, the government shows a series supported on figures that are held in repair material and financial, in contrast results, another series of studies showing another disturbing picture yet sensitive as a result of formulated violence that communities suffer at the hands of the various actors in the conflict. There are documented and varied evidence showing alarming figures against diagnoses such as depression, anxiety and post-traumatic stress in populations victims of armed conflict in Colombia.

This research approaches the manifestations of social and individual malaise afflicting the victims of armed conflict particularly in Pasto, perteneciente territory the Department of Nariño region in the south western Colombia, which historically has been hit by the scourge of war. It is recognized that violence begets serious consequences on mental health, bringing together a number of impacts on the individual, family and social matters which are beyond the response capabilities of the victims communities. In this sense, the research work of a thoughtful review of existing reports and intervention in the context of psychosocial care for victims of armed conflict research, realize the ways in which we have been working with this population.

This paper presents an advance level document review of the research project "Building memory, narrative and subjective redress victims of armed conflict in Pasto" which is part of the assumption of acts of war as a social catastrophe, and whose justificatory livelihood in the deep effects in the country, as a result of armed conflict and the role of state institutions over civilian life, victims and territory.

Methodology

¹Mg. (C) Psychoanalysis subjectivity and culture. National university of Colombia. Psychologist, University of Nariño. Teaching Psychology Research Program Regional Center UNIMINUTO Pasto, a member of the research group GISE. Member Forum Pasto Lacanian Psychoanalysis field.

Contact: ariascosgue@uniminuto.edu.co. Cel: (+57) 3425 311730

²Partial results Project: Building memory, narrative and subjective redress victims of armed conflict in Pasto (Colombia). Project supported by the Corporacion Universitaria Minuto de Dios.

For the research project, a joint methodological qualitative (Bonilla, E., Rodriguez, p. 2005) research and psychoanalysis (Gallo, 2002) proposes an ethical perspective of treatment for the victims, about their experiences, the social fabric, memory and history, under current regulations especially the 1448 Act 2011 or Act Victims and Land Restitution; provision whose content poses and defines measures of care, assistance and comprehensive victims of gross violations of human rights and breaches of international humanitarian law in the context of internal armed conflict repair and effective enjoyment of the right of victims to truth, justice, reparation and guarantees of non-repetition.

Document analysis method

As for document review, it was decided to initially identify research and interventions conducted within the framework of psychosocial care to victims, the above in order to establish procedural, instrumental and methodological level forms of approximation of researchers and psychology professionals for the purpose of the proposed study. The analysis units were all documents on the topic of psychosocial approach to victims of armed conflict, and psychological interventions with the same population. Consulted documentary bases, Scopus, Lantindex, Pubindex, Scielo, Redalyc, provide information and articles for the revision work. "Psychosocial care", "psychosocial intervention", "trauma of war", "armed conflict", "mental health", "victims", "Colombian armed conflict" and "mental health: as search criteria, the following descriptors were included problems ". These descriptors were combined in different ways when scanning with the aim of expanding the search criteria.

Similarly, it took as a reference psychoanalytic theory for reflection against the revised documents. In this regard, it seeks to establish a differential panorama against forms of approach proposed from psychosocial perspectives in the context of attention to victims of armed conflict in Colombia, to provide a methodological perspective to the ongoing investigation, enabling rescue methodological level, some principles that come from psychoanalysis.

Discussion

Memory and Forgetting: interventive regulatory conditions and practices.

We crossed a time in the national context in which prevails, despite political tensions, a program aimed at overcoming the internal armed conflict discourse. In this discursive order the signifier memory, has had a leading role in the framework of the demobilization of paramilitary groups, the peace process with the FARC, and future, throughout the transitional justice framework. The Colombian government and the institutions that represent it, as well as non-profit organizations, victims' associations, researchers, both human sciences and other areas of knowledge, have taken responsibility for the approach, reconstruction and treatment of memory and its inescapable relationship with history, as part of the consolidation of a necessary process, under the knowledge of the truth, and as a way to ensure social justice and non-repetition. The State relating to realize efforts to lay the legal basis for the construction of historical memory in the country, can be traced from Law 975 of 2005, which hosts some guidelines on that component. In this sense, was the work of the Group of Historical Memory in collaboration with the National Center for Reparation and Reconciliation, history of important processes and initiatives within the framework of the demobilization of paramilitary groups Act 1448 of 2011 or the law of victims, specifically stipulates the conditions, legal, political and administrative provisions necessary to establish a framework towards the construction of historical memory of the country, by an entity specified official order.

Reception, retrieval, preservation, collection and analysis of all documentary material, oral testimony and any other means concerning violations committed during the internal armed conflict, through the conduct of investigations, activities museum, educational and other related contributing to establish and clarify the causes of such phenomena, know the truth and help prevent future repetition of the facts. "(Ministry of Justice, 2011, p.2).

Under this legal framework, the work of the National Center for Historical Memory oriented purposes aimed at meeting the state goals related to overcoming the conflict, issued a series of reports on the historical conditions of the war in Colombia, and from them brand also, a sheet of methodological route for the collection and treatment of documented information. These efforts aim to contribute to the knowledge of historical truth, which takes as a reference for its construction, all stakeholders (victims, social organizations, victims, etc.) and the contributions they can do through non-judicial mechanisms, for this purpose. This work is not only necessary to symbolically compensate the victims, but also, It allows to set parameters related to legal truth and ensure investigation and prosecution of the perpetrators or perpetrators. (National Center of Historical Memory, 2014).

Under this scenario in the department of Nariño, as a historically affected by armed conflict region have developed multiple community work memory, which are documented in reports and portals of the National Center of Historical Memory, which reflect the results of this type experiences. One of the flagship within the memory work in Nariño references, is "La Casa de la Memoria" in Tumaco (N). Still, there is little information on the forms, practices and procedures that were used in the work memory developed in the region, which prevents there an approach to the methodologies used and their effects on communities, beyond what reported in official documents.

In this regard it should be mentioned that in the field of historical memory work also converge various other government initiatives, which bring together a number of interpretations and notions about the politics of memory and how they should be worked; these are grounded in research and built on theoretical trends interventions that address greater extent, by memory in their collective version, as a result of intersubjective and social relations that compromise complex joints historical, political and cultural level. (Aguilar-Forero, 2018).

If take into account that part of the raw material needed for this purpose, emerges from the narratives of experiences, facts and victims experienced by subjects events; the staging of such testimony, involves the appearance of another phenomenon, the order of the subjective, it is necessary to analyze carefully. Narratives are fragments of subjective history that seek to organize, classify, represent and document effectively, to establish the truth of what happened, from the singular reminder to the construction of collective memory. In this process, it is possible to intuit that the evocation of the particular history, does not emerge in isolation, but is accompanied by the associated events suffered in the context of a traumatic event of war affections. This emotional effect committed in the testimonial remembrance of a traumatic event, is recognized, has a cutting effect, in some scenarios for the work of the construction of historical memory as a collective, given the high emotional content and the subjective effort that it even leads to silence, to the impossibility of representation in language, and therefore to a break in the narrative that the subject is expected. (Torralba, 2015).

In this vein, several questions open before this particular phenomenon: all subjects victims are willing to contribute their story building scenarios promoted by governmental and non-governmental organizations? Are there intentions of the actors involved in the field of historical memory, which go beyond the objective of its construction and produce what is known as action damage in populations? What role in the process of building collective historical memory, the subject's position against its own story and testimonial demand?

The above questions are also relate to specific and defined those involved in this field actions. Government guidance has defined a number of general guide mechanisms, against the construction work of historical memory, which enable participation and financial support for different social organizations, private entities or initiatives that drive actions victims memory. While the above is correct, given the need to listen to the many voices and sectors involved in historical events of the war, also it opens the possibility that this scenario is seen as a niche market, if the construction of historical memory is assumed to be a form of social intervention (Moreno Molina Camacho & Valencia, 2018).

In this perspective, the proliferation of both investigations or interventions that treat or are intended to study the historical memory in Nariño, promotes the meeting of different ways to take and interpret policies that organize such practices, generating including ruptures, tensions and conflicts; In this regard, there will be initiatives aimed at functional work on memory according to the dominant economic partner discourse, and other initiatives that emerge in response to the sense proposed and given historical memory, in favor of a built sense, consensual and that makes resistance to versions of the story provided by the institutions, from the social organization (Soley & Vargas, 2014). These initiatives, depending on the speech that guide the ways of intervening, They have concomitant effects their actions, in the subjects involved in the construction of historical memory. Therefore, if one considers that the approach, intervention and construction of historical memory, engages both the individual and the collective as elements that affect each other, and include institutional logic to this scenario, governmental and non- governmental, social, economic and even political interests, it is possible to say that there are different discourses on the construction of historical memory that guide initiatives, methodological and interventive practices and results collective and individual level in the context of working with victims of armed conflict.

The scene is the dimension of history.

History always has a character of staging.

J.Lacan (1962-1963)

Perhaps, initially the quote serves overture, at first sight has no direct relationship with the document title, however, if the worked subject approaches the consequences of war, then it also includes a reflection on the traumatic; the purpose of the appointment is justified while always tells a story and particular scene in psychoanalysis, which corresponds to what is unique to each subject, and allows locate traumatic as a specific and distinct event, despite to originate in collective conditions. Thus I introduce the framework to address traumatic corresponds to the coordinates position subjects in conditions of war, rather the psychological effects of her subjects,

In this sense, reflection is in the circumstances that relate specifically to Colombia's internal armed conflict. The effects of these conditions on subjects who suffered the rigor of the conflict, allow a critical reading on the temporary insistence of reality tied to how traumatic it insists, and that perpetuates their psychic effects, sometimes hand therapeutic practices and clinics, advocating the revival of war experiences through discourse.

Then, it is first necessary to deal with the trauma as a concept: According to the DSM-5, trauma is defined as any situation in which a person is exposed to scenes of actual or imminent death, serious physical injury or sexual assault, either as a direct victim, close to the victim or witness. The ICD-11, soon to be published, conceptualizes it as any exposure to a stressful situation of an exceptionally threatening or horrifying nature that is likely to produce a deep malaise in most people. This conceptualization allows us to place a particular framework from which the traumatic event is approached from psychology,

In this regard, and in keeping the work of psychosocial court that are made on this phenomenon, the traumatic event is approachable specifically in two ways: one corresponding to its registration in the language, ie, it is through the discourse of the victims in which case, realizes the impact of a violent event in the life of one who suffered. Another is by its effects, ie individual symptoms or groups, which arise as a result of trauma; This latter aspect approaches the Lacanian definition regarding the way how we approach the traumatic event. Still, this idea is not new if we return to the Freudian premise of the trauma in hysteria, this approach places the trauma as an initially inassimilable event for the ego of a subject, far from being able to react properly,

Precisely because of not having been prepared, Aristizabal et al (2012) describe how as traumatic element is housed dormant and can at a second time, which is not predictable, be reactivated causing symptom production. This mainly appears in the writings concerning the treatment of hysteria Freud, who by 1983 raises the existence of a temporal distance between the emergence of a traumatic event and producing symptoms. Temporal distance that the subject suffers from the memory trace left by that event, but which is housed in the unconscious due to defensive psychic effort seeks to avoid discomfort to the subject. Might wonder at this point why revisit this postulate, which it seems outdated given the current considerations facing the trauma; However, its use is justified because today in Colombia, the interventional and research approach to the trauma of war survivors subjects clearly reflects that the testimonial account taken as an instrument for the construction of historical memory, for example, revives the psychic effects of the subject who staged his story of a traumatic event. Reminiscence of these events, overflows again the possibilities of subjective response, allowing sense to remember and recount as interventional exercise in the framework of the intervention or investigation with victims of armed conflict, is not enough. If consider that there is a temporary lapse, between the irruption of the traumatic event and the causation of the symptoms, it could be said that these two times, allow to establish that there is an imbalance in the subject that is relative to its history, while the violent event marks a before and after, which requires another type of attention beyond oral repetition in certain scenarios.

Viewed this way, from the writings that deal with the subject of war in Freud (1915- 1932), "of war and death, current issues" or "Why the war" human conflict is approached from reading its effects, the cruelty of their methods and techno-scientific relationship for the destruction of the other, either as a defense or attack. Without any doubt, this tradition even in today's wars is maintained. The consequences of war, -the effects of traumatic events to be precise in the combatants or civilians who are in the midst of confrontation, keep the calls lasting echoes of catastrophes of war. For Colombian civilians, the

affections of terror, which accompanies the feeling of risk of loss of life as a result of torture, attack, displacement, displacement, or forced disappearance of relatives, constitute the framework of the collective history of war, but also keep in themselves, the particularity that is built from the traumatic event.

Traumatic events (regardless of origin) occurred in the history of a subject, as we know, left in the psyche a psychic imprint, which remains dormant, and in particular conditions, produces a range of effects depending on the affect associated with the memory thereof, following the Freudian postulate. Same that can be traced in reading the experience of pain in the "Project Scientific Psychology" (Freud, 1950) since there is a similar question of trauma consideration, ¿is it not the experience of pain, a historical fact that leaves a mark and save some temporary location, if you will, in the history of a subject? One might think about it, it is unlikely that an individual can once again in his memory, the first experience of pain, however this event, conceived in a mythical time, that is outside the scope of an accurate temporary location, but whose effects we know about in the post, in a historical period. Myth, in this case allows knotting more precisely the question of trauma following the postulate of Lacan in the X seminar on Anguish. I raise this, formulated in terms of history, it presents the articulation of the significant elements of signifying chains that allow the establishment of a script for a particular scene, from which it lives and experience the world. Therefore what is called reality, resulting from the production of meanings that give the frame to the scene, appoints its characters and promotes the network of relationships which together form a story (Lacan, 1962). In this sense, mythical or as originating in the scene, it is in the order of the impossible, of the unrepresentable, however it is the foundational destiny of the subject: this time for Soler (2017) "Historically it has declined in terms of misery, impotence and inability, and has been attributed to the gods or sin. Lacan recognized there the effect of the structure of language on living". In this way, the subject suffers a trauma, an event of reality that "would rather be thought of as impossible to avoid for the speaking beings that are immersed in the imaginary and the symbolic" (Soler, 2017 p.2) constitutive event is the very existence of language, and at the same time cutting and irremediably separates the subject from its object of desire, that I on the irrepresentable of the emerging to take significant body. The presence of absence of the object (a) precisely directs the script of the scene around a vacuum, which is blurred after the presence of said imaginary object i (a).

In this sense, his place in history subjective, a violent event in a context of war, subject to a noncombatant? It takes the place of a milestone in the scene, a monument of remembrance; an encounter with the real, which occurs as a result of a discontinuity in the script built imaginary via a violent interruption in the scene, which marks the subject of irremediable manner. If the initial continuity of the scene is marked by the object to be missing, the fortuitous emergence of a violent event promotes the fall of imaginary veil, resulting in agonizing answer: "I could speak of" encounter with reality "only if we consider that this meeting is always failed because, in so far as it is possible to resume the story, it becomes missing. "(Sanfelipo, 2010 p.440)

On the other hand, if trauma is defined in terms of breakthrough, surprise or exterior appearance of an item as an event, it will be understood beyond the violence that emerges, ie, the fortuitous factor has an effect, as it involves the subjectivity of who experiences¹. In this sense, we can say that the traumatic event is the scope of representation is the temporal logic of the effect retrospectively, an issue that differentiates the advent of true original, which was discussed above and explained in Lacan, trauma. In this sense what is representable in the course of history subjectively, both past-present temporal relationship is the traumatic event, which in the case of victims of armed conflict in Colombia, located in the witness a form of symbolization, as long as it is taken as part of the signifying chain that is part of the unique history of each victim and is not taken from the imaginary uptake and idenficación with the horror of the story, which suspends subjects in reminiscence,

While this reading is not new today, it is always necessary, by virtue of the existence of clinical practice oriented treatment guided by identification with the horror of facts narrated by the victims or seeking appeasement of symptoms from the incessant play on different stages of their stories. The narrative, as testimony exists as a form of opposition to oblivion, however in this case, is not sufficient as a form of symbolic elaboration of a violent event that has marked the history of a

¹It is possible that in the course of certain violent events in the conflict, subjects have witnessed, or have been affected by acts of war, however a response at the level of discomfort or symptoms is not set. In this regard, the importance of content and subjective interpretation of the fact that the link with the traumatic event, viable symptomatic expression explained.

subject in the course of the war; It means rather the return of pain associated with memory, repetition in reminiscence, in favor of conscious acceptance of the facts, and the presumption of forgetfulness without subjective consequences.

In this sense, the reflection from psychoanalysis, also allows to place an ethical difference in relation to other clinical practices, it reverts to a position that is the effect of a construction that occurs in the experience of analysis, and It gives rise to a particular listener against the discourse of the subject who suffers, reaching a deep reading of the way as they emerge through language subjective discomforts, going beyond the act of speech as a mere reproduction of narrative history.

Construction of historical memory, considerations in the context of psychosocial care for victims of armed conflict.

Clearly the initiatives, actions and strategies involved in the process of construction of historical memory in Pasto will have effects on the subjects involved, communities, and the social context of the region, which can be evaluated positively, since these scenarios They tend by knowledge of historical, necessary for the panorama of peace that has come to Colombia truth. However and since these processes address the memory of human groups in particular need to also question the place in this scenario the unique memory and mental and emotional for victims, so traces a concern also underline on ways of developing traumatic that will be part of the collective historical memory, but which is, in turn, the intimate and symbolic picture of the subject that gives his testimony regarding institutional methodological practices that mediate so that these elements emerge. It sharpens complexity of the subject when taking into account the multiplicity of nuances that add, understandings, interpretations, meanings and speeches around the politics of memory. At first, the policies refer to the number of state rules governing, order and establish social conditions, nevertheless it exists in the field of historical memory, another way of understanding these policies, such as: It sharpens complexity of the subject when taking into account the multiplicity of nuances that add, understandings, interpretations, meanings and speeches around the politics of memory. At first, the policies refer to the number of state rules governing, order and establish social conditions, nevertheless it exists in the field of historical memory, another way of understanding these policies, such as: It sharpens complexity of the subject when taking into account the multiplicity of nuances that add, understandings, interpretations, meanings and speeches around the politics of memory. At first, the policies refer to the number of state rules governing, order and establish social conditions, nevertheless it exists in the field of historical memory, another way of understanding these policies, such as:

Acts, exercise, social practices that can be institutional or non-institutional, rigid or flexible, and even hegemonic, but also against hegemonic. The latter sometimes are intentional and are guided by the desire to understand or justice, as an ethical claim and resistance "comfortable stories". At other times they are more spontaneous result of memories remain muted yet and break in unpredictable ways. (Aguilar-Forero, 2018, p.113)

This approach allows us to understand that there are differences in the way how the politics of memory are assumed in the case of Pasto, which also implies the existence of multiple initiatives, methodological approach, and interventional they have based on their actions, with such interpretations oriented discourse. You can sustain the validity of the above, on the need for plural and flexible historical building, still memory approaches this also promotes "struggles" between the visions that have built different interventional actors. Therefore, there are also risks, given the multiplicity of interpretations of the politics of memory, not only shocks that may exist between versions of the story that emerge from them, but in the way in which the communities that contribute their stories and memories for that purpose.

According to this premise, and taking up the work of historical memory as a way to intervene in the social fabric, it is recalled that the stage of psychosocial intervention, as referred to actions working for interdisciplinary way mitigate the needs of the population victims of the armed conflict, not going through its best moment (Villa Gomez, Machado Barrera, Arroyave Pizarro, & Montoya Betancur, 2017). One of the main problems identified in this field corresponds to the contextualization of proposals and projects implemented and advance with communities of victims of armed conflict, and which have only an axis of knowledge from the document review, livelihood theoretical and under the premise of the application of universalizing methodologies, a fact that prevents generate real possibilities of transforming the social fabric, and promoting turn other negative consequences for victims, emerging from the practices that do not have knowledge the real needs of the target communities. (Insuasty Villa Gomez & Rodriguez, 2017). In this regard, technical knowledge, and posture of intervention agents, away from knowing communities take a leading role to the detriment of the role the voices of communities, which are silenced and outside the precepts methodologically guide psychosocial interventions (Villa Gomez, 2013).

These peculiarities are not far from what happens in the context of the construction of historical memory in Nariño, since they are at one end, practices become, in the state administrative and regulatory landscape, running exercises instrumental methodologies, guided by the accumulated from the perspective of expert knowledge, and the need to comply with specific objectives and obligations of the State to the victims know. The existence of boxes methodological tools for memory initiatives and actions established by the National Center for Historical Memory, could account for a partial implementation of the process. In fact, being concentrated knowledge of methodological procedure on the construction of historical memory in a government entity, the debate over who controls or directs the historical memory of the country, also acquired in the political debate, a particular hue, depending on the logic discursivas government in charge (Aguilar-Forero, 2018).

While attention to the relevant and positive nature of the construction processes of historical memory in the region is put at the beginning of this section, we have at this point, a number of elements which denote other negative conditions concerning the effects can generate and evoke initiatives, guided by other interests or speeches, different from the construction of historical memory and symbolic reparation is expected to participating communities. For the monuments, for example, that for a long time were the resource to commemorate certain events in the context of armed conflict, they may be challenged, by virtue of its origin. When justice requires the State this form of symbolic reparation, so that the need to repair ordered by other authorities, generates processes or initiatives that do not have the perspective of the victims, they become more "decorative" element in the process of visibility that entities perform, to account for the performance of its obligations (Arenas, 2017). The same phenomenon that occurs when the concept of economic "utility" premium before the concept of benefit for subjects victims in processes of a similar nature.

In this regard, different elements have been identified analysis conditions which have been developed to build historical memory in Pasto; On one side are the difficulties posed by the emergence of the subjective effects of the acts of war victims, and what it means for collective work of historical reconstruction of the events in the conflict; differences and tensions stemming from the interpretations of the politics of memory, by those who assume the responsibility of working in this field; Finally, the discursive orientation that qualify initiatives, actions and methodologies applied to the construction of memory history, and its resonances in the communities involved in these processes. The knowledge obtained from this analysis can be considered as a significant contribution to the framework of historical memory construction actions that will be carried out in the future in the region.

Conclusions

As it can be evidenced not only mentioned briefly some considerations of psychoanalysis from memory, but also has brought into play the relationship between memory and trauma, not without purpose; both concepts can be traced to the dawn of the most important discoveries of psychoanalysis, and saved for this proposal, underlines importance. The phrase "the hysteric suffers from most of reminiscences" (Freud, 1893, p.33) located in memory, the hidden meaning of the enigmatic symptom in hysteria, and whose content, unknown to consciousness, remained unconscious given psychic defensive efforts. This teaches something about the plane in which it is considered to mind in psychoanalytic terms; The Discovery of the Unconscious also brings a break with conventional ways of understanding certain mental processes, and how they operate in subjects. Timelessness attributed to the unconscious and its capacity to accommodate the widest range of experiences of a subject from memory traces that remain after the experience, allows placing traumatic as a content necessary symbolization, for the history of a subject. However, this need not emerge from psychoanalysis as a therapeutic method, but the living subject the effects of a particular event that has been taken as traumatic and source of discomfort.

The need to understand the complex variations adopts memory processes individually historical construction and collectively under the foregoing, analysis elements and valuable theoretical reflection to answer the underlying phenomena and emerging relationships between actors victims and subjects involved. The relationship established with the trauma comes from the approaches that psychoanalysis did on the psychological consequences of the great wars. While this field, Freud provides some specific ideas about some clinical nuances, corresponding to the lingering effects of the experiences that occurred in the war, also established that the product of the catastrophes of war phenomena, They are fertile ground for inquiry and reflection from the psychoanalytical know. Understand the human dimension of armed conflicts and its devastating effects on the collective and individual levels, also assumes that the particularities of memory relationship - trauma, is not only found in the unique experience of a subject affected by armed conflict, its consequences can also be evidenced in the social sphere; hence the need to know the truth of the events, recognition of the victims and work on historical memory as a way to heal symbolically, psychic traces of those who suffered the rigors of war and emerge as

witnesses social catastrophe. The dimension of trauma committed in memory, in the context of the events suffered by victims in war, need social discourses that point to a historical truth, constructed from subjective narratives that are heard and constitute the basis of actions in the construction of collective memory (Bohleber, 2007).

But this implies understanding the dimension of the phenomena associated with memory experiences beyond clinical but that psychoanalysis offered in the office. In this sense, Moreno (2015) suggests that it is possible to contribute to the prospects of intervention, and why not, research, theoretical basis of psychoanalysis, ethical and clinical principles that serve as sources of guidance and inspiration for practice with communities victims of armed conflict. For example, recognition of the unconscious as a different scenario involved in the field of social relations (Moreno, 2015), is part of those principles in the service of the investigation of certain phenomena, it allows for questions and formulate responses, compared with the complex relationships between the collective memories, individual memories and the effects brought into play in scenarios building historical truth, given the conditions and dialectical affectations between them.

So, the conceptual considerations briefly outlined in this section are just an outline of the theoretical component of psychoanalysis, which is susceptible removed for reflective analysis of the phenomenon raised. But equally, it is a way of constantly questioning on those aspects that compromise human discomfort, establishing possible answers from psychoanalytic knowledge in the Colombian context. Lacan (1953) proposes: "Better to resign because who can not join their horizon the subjectivity of his time" (p.308) as a poignant invitation or an ethical imperative to inquire from the discipline founded by Freud, that particular thing that marks the subjectivities in the culture, invitation to which this proposal is circumscribed, in front of the relations and phenomena that emerge in the devices of construction of historical memory in Colombia.

Bibliographic references.

- [1] Bonilla, E. Rodriguez, P. (2005) Beyond the dilemma of methods: research in social sciences. Grupo Editorial Norma, 2005. Pp.424. ISBN 958-04-8542-9
- [2] Gallo, H. (2002) of psychoanalytic research. Recovered in <http://www.psicomundo.com/foros/investigacion/gallo.htm>
- [3] Ministry of Justice (2011) 4803 Agreement on 20 December 2011. Retrieved on: http://www.centrodehistoriamemoria.gov.co/descargas/decretos/DECRETO_DE-ESTRUCTURA_DEL_CENTRO.pdf
- [4] National Center of Historical Memory (2012) Justice and Peace: judicial truth and historical truth ?, Retrieved on: http://centromemoria.gov.co/wp-content/uploads/2015/07/verdad_judicial_verdad_historica.pdf
- [5] Aguilar-Forero, NJC (2018). Memory politics in Colombia: initiatives, tensions and experiences (2005-2016). *Critical History* No.40, 68, 111-130. <https://doi.org/10.7440/histcrit68.2018.06>
- [6] Torralba, F. (2015) Historical memory, reconciliation and post-conflict. Recovered www.raco.cat/index.php/ArsBrevis/article/download/311723/401803 p. 325
- [7] Camacho Moreno, MA, & Molina Valencia, N. (2018). Social intervention as an object of study: discourses, practices, problematizations and proposals. *Digital athenea*, 18 (3), 1-29.
- [8] Solely, N., & Vargas, L. (2014). Memory measures peacebuilding the case of the report's enough historical memory center. *Cod. 2567363*, 1-38. Retrieved from http://www.bivip.unal.edu.co/bitstream/10720/683/1/2567363_2014.pdf
- [9] Freud, S. (1929) Civilization and Its Discontents. *Collected Works*, Vol. XXI. Buenos Aires: Amorrortu EDRs, 1981. P. 57-139..
- [10] Aristizabal, S., Palace, J., Madariaga, C., Osman, H., Parra, L., Rodriguez, J., Lopez, G., (2012) Symptoms and psychological trauma victims and victimizers in the Colombian Caribbean . Vol.29 *psychology from the Caribbean*. ISSN 2011-7485 mail.
- [11] Freud, S. (1915) of war and death, current issues. Volume XIV Amorrortu.
- [12] Freud, S. (1933) Why the war ?. Volume XXII. *New Introductory Lectures on Psychoanalysis and other works*.
- [13] Freud, S. (1959) Draft Scientific Psychology. Tomo I. Psychoanalytic pre unpublished manuscripts and publications. Amorrortu.
- [14] Lacan, J. (1962-1963) X Seminar anxiety, Chapter 1 "Introduction to Structure Angst" p. 11-95

-
- [15] Soler, C. (2017) "Coming of the real" Pre-text of the International Meeting of Barcelona. Recovered in [http://xcita-if-epfcl.barcelona/Documentos/Pre-textos/\(Sp\)Pre-text01-ColetteSoler.pdf](http://xcita-if-epfcl.barcelona/Documentos/Pre-textos/(Sp)Pre-text01-ColetteSoler.pdf)
- [16] Sanfelippo, L., (2010). Conceptualizations of trauma in Freud and Lacan. II International Congress of Research and Professional Practice in Psychology XVII Conference on Research Sixth Meeting of Researchers in Psychology of MERCOSUR. School of Psychology - University of Buenos Aires, Buenos Aires.
- [17] Aguilar-Forero, NJC (2018). Memory politics in Colombia: initiatives, tensions and experiences (2005-2016). *Critical History* No.40, 68, 111-130. <https://doi.org/10.7440/histcrit68.2018.06>
- [18] Villa Gomez, JD, Barrera Machado, D., Arroyave Pizarro, L., & Montoya Betancur, Y. (2017). Action Damage: welfarism to social construction of the victim. Look at repair processes and psychosocial intervention in Colombia. *Universitas Psychologica*, 16 (3), 1. <https://doi.org/10.11144/javeriana.upsy16-3.adac>
- [19] Villa Gomez, JD, & Insuasty Rodriguez, A. (2017). Between participation and resistance: rebuilding the social fabric from below in the municipality of San Carlos Beyond logic state reparation. *Agora USB*, 16 (2), 453. <https://doi.org/10.21500/16578031.2442>
- [20] Villa Gomez, JD (2013). Horizontality, shared knowledge expression and psychosocial processes focus on support to victims of political violence in Colombia. *Agora USB*, 13 (1), 289. <https://doi.org/10.21500/16578031.91>
- [21] Arenas, S. (2017, May 9) Sandra Arenas. Symbolic repair. [Video Archive] Recovered from <https://www.youtube.com/watch?v=BE0QD5A7qKE>
- [22]
- [23] Freud, S. (1924, 1925) The Ego and the Id and other works. Unconscious. Volume XIV Amorrtutu.
- [24] Freud, S. (1920) The Psychopathology of Everyday Life. Volume VI. Amorrtutu.
- [25] . Rooster, H. (2004) "Forgetting and Truth" magazine since the Garden of Freud Recovered in:
a. <http://www.revistas.unal.edu.co/index.php/jardin/issue/view/969>
- [26] Gomez, G (2004) "War Injuries: memory and forgetting" magazine since the Garden of Freud. Retrieved on: <http://www.revistas.unal.edu.co/index.php/jardin/issue/view/969>
- [27] Moreno, M. (2013). Psychoanalysis and social intervention. Retrieved on: https://www.icesi.edu.co/revistas/index.php/revista_cs/article/view/1568
- [28] Perez Muñoz, Rico & Gomez (2010) "Moving meaningless: Clinical study experience and the violent displacement" Retrieved on: <https://revistas.upb.edu.co/index.php/informespsicologicos/article/view/6100>
- [29] Sotelo, A. (2004) "Testimony, body, memory and forgetting" magazine since the Garden of Freud. Retrieved on: <http://www.revistas.unal.edu.co/index.php/jardin/issue/view/969>
- [30] Freud, S. (1893) On the Psychical Mechanism of Hysterical Phenomena: Preliminary Communication. In S. Freud Works Vol. II. pp. 27-44. Buenos Aires: Routledge.
- [31] Bohleber, W. (2007). Memory, trauma and collective memory: the battle for memory in psychoanalysis. *Psicoanálisis APdeBA*, XXIX (1), 43-75. Retrieved from <https://www.apdeba.org/wp-content/uploads/Bohleber.pdf>
- [32] Moreno, MA (2015). Psychoanalysis and social intervention. *CS magazine* (11), 115. <https://doi.org/10.18046/recs.i11.1568>
- [33] Lacan, J. (1953) function and field of speech and language in psychoanalysis. In Jacques Lacan, *Writings* 1 pp.231-310. Editorial Biblioteca Nueva, S, L.

The Struggle for Integration of Refugees and Immigrants: Examples of Integration of Refugees in European Cities and the Case Study of Athens

Efthimios Bakogiannis

Transportation Engineer & Urban Planner, Ph.D., Sustainable Mobility Unit- Department of Geography & Regional Planning, National Technical University of Athens

Charalampos Kyriakidis

Ph.D. Candidate, Urban & Regional Planner, Transportation Engineer, Sustainable Mobility Unit- Department of Geography & Regional Planning, National Technical University of Athens

Tatiani Milioni

Civil Engineer (B.Sc.), Surveyor (Und. Dipl.), National Technical University of Athens

Abstract

This paper focuses on the integration of refugees and immigrants into Greek society through the provision of housing. This topic is a hot one due to the fact that many refugees have arrived in Greece during the previous years and there is a need to remain for a long time. Thus, the provision of housing is imperative. However, due to the economic crisis, the creation of such spaces is expensive and unachievable. As a result, alternatives should be examined. For this purpose, different policies of the smooth integration of refugees and immigrants in European countries can provide such solutions. Three case studies were selected across Europe and they have been compared to the Athenian paradigm. Through this research, proposals about their successful integration have been derived. In that way, it will be possible to provide specific plans that reorganize various areas in Athens in order to make this vision a reality.

Keywords: refugees, immigrants, integration, non-used buildings, case studies, Athens.

Introduction

The refugee crisis is located at the foreground of urban history of the Greek cities for a century, considering the continuous flow of population to and from Greece, mainly after the Asia Minor Catastrophe. Indeed, during 1920s, almost 1,400,000 refugees fled to Greek territory (Hirschon, 1989 in Vergeti, 1992). The refugee flow continued during the 1980s and 1990s (Triandafyllidou, 2009; Mogli and Papadopoulou, 2018), culminating in the 2010s, as people from other countries viewed Greece as an entry point to Europe. According to Giannakopoulos and Anagnostopoulos (2016) who quote data of the UN Refugee Agency (2016), roughly 860,000 refugees and migrants have entered Greece during 2015-2016. Following the closure of "Balkan migrate route" in March 2016, dozens of thousands of refugees remained trapped in Greece (European Commission, 2018), despite the fact that the number of newcomers was contained (Figure 1). The initial reaction of the Greek government was the development of temporary housing structures organised in abandoned camps and parks, almost in the entire Greece. However, as far as the probability of permanent settlement of a large number of people as well as the need for their integration in the Greek society increase, the questions still arise regarding the way in which those people will rehabilitate.



Figure 1. Arrivals per day during 2015-2019 (January). Source: <https://data2.unhcr.org/en/situations/mediterranean/location/5179>

Historical approach of the issue notes that during the 1920s the Refugee Restoration Committee (EAP) focused on the refugees' housing rehabilitation mainly in country-side areas but in cities as well, through the establishment of new settlements. Those settlements were developed according to a development plan, as well as granting the exchangeable Muslim property to the refugees (Lianos, 2016). However, there were many other settlements developed without plans. Informal self-housing was the main mechanism used in such cases. In those cases, settlements were located without criteria across Greece (Thessaloniki, Volos, Kavala, Serres, Agrinio, Kesariani, Vironas, Nea Ionia, Kokkinia) (Lianos, 2016). Although such areas were planned as residential areas (Bakogiannis, et.al., 2015), they still preserve their traditional character and mixed-used building forms.

At present, in the context of Emergency Support to Integration and Accommodation (ESTIA), housing land is in quest for 20,000 refugees in various areas of the country. In contrast with the housing programs of 1920s that had foreseen the construction of new residences, today's programs focus on the renting of buildings or apartments. Conducting a literature review, it was established that the housing methods provided to the refugees in Greece, nowadays, are the following:

- a) Apartments rented by the state.
- b) Apartments rented by refugees or immigrants. Usually, one group of refugees, relatives or not, reside in one apartment.
- c) Leased hotels by the state.
- d) Refugee hosting centers (hot-spots), which were organized in order to provide temporary residence to refugees. However, in reality, refugees stay in those centers for a long period of time. The centers usually present the below forms: (d1) designed buildings (d2) containers converted in residential spaces, like in the case of Eleona (d3) tent camps, like in the case of Moria in Lesbos.
- e) Refugee hospitality through cohabitation, like the "Home for Hope" project. In the context of this action, the owner of a house accommodates a specific number of people up to two months (up to eight months, in practice) with a small price in return.
- f) Occupation of empty spaces. Typical examples are the ones of City Plaza Hotel and the conquest of the building in 26th Notara Str. in Exacrheia.
- g) Municipal spaces and buildings, mainly in cases of adverse weather conditions.
- h) Public urban spaces, in cases of refugees or immigrants who haven't secured a space or tent to spend the night.

Taking all the above into consideration it is ascertained that there is no organized plan of housing for a large number of refugees and immigrants. As a result, it is not only a political, social and economic problem but also an urban planning one, since the impacts caused from a rough housing attempt of large groups of population affect the way cities function both in the short term as well as in the long term period. In the context of this research paper, good practices of refugees' housing through the re-use of existing/un-used buildings are examined (Section 2). For that purpose, the possibility of use of empty

buildings in Athens is being investigated (Section 4), following an analysis of the current situation regarding the existing buildings of a specific area in the center of Athens (Section 3). Thus, useful conclusions result, which can contribute to the alleviation of the refugee phenomenon through smooth integration of refugees.

Case studies research

In the context of researching for good practices, two refugee establishment cases were examined in Italy and Germany. The choice of countries is related to the increased number of applications for granting asylum from the part of the refugees.

The first case concerns the Sicilian village of Sutura, whose population recorded a continuous drop between 1970 and 2010, a fact that is connected with the high percentages of unemployment in the area (Urbano, 2016; Tondo, 2018) as well as the isolation related to the absence of satisfactory road infrastructure and bad public transportation system (Zancan, 2016). The decision of local authorities (2014)2014 (Urbano, 2016), to provide abandoned homes to 50 asylum seekers contributed to the increase of population of the village (Tondo, 2016), in 2016. The integration of residents was done in the frame of a European resettlement program which funds cities in order to host a certain number of refugees (Tondon, 2018). The financing touches 263,000 euro per year with a positive impact to the restoration and rent of these empty houses as well as the creation of new jobs (Zancan, 2016). The 1,000 m² school of the village continued to operate in spite of the fact that the plan before the establishment of refugees foresaw its closure (Cipriano, 2018; Tondon, 2018). In that way, the purpose of integration of refugees into the village's social fabric was easily achieved and the residents' objections were soon detained (Urbano, 2016). Today, Suttera is identified as one of the best examples of refugees' integration (Open Migration, 2018) which emits multiculturalism and achieves to approach again the interest of its own refugees (Italians that now live and work abroad or in other cities across Italy) visiting the village in purpose of tourism (Urbano, 2016). By highlighting the village as a good practice in combination with the highlighting of monuments of cultural inheritance is considered parameters that might favor the tourism in the close future (Zancan, 2016).

Relevant were the motives of integrating refugees in Golzow village, a rural and structurally disadvantaged region of Brandenburg, Germany (Schiffauer, 2019). The population of the village showed significant drop from the 1990s resulting, in the middle 2010s, in the consideration of closing the local school, since the necessary number of students were not available so that to operate, even one class. Thus, despite the initial anti-refugee climate that was developed (Bell, 2017; Schiffauer, 2019), local authorities proceeded to the establishments of Syrian families. Abandoned houses were available for housing refugees (Bell, 2017; Le Blond and Welters, 2017). In 2015, Syrian refugee children saved the school and new life breathed into this shrinking community (Le Blond and Welters, 2017). Up till 2016, 3 Syrian refugee families were permanently established at the village (Yowell, 2017) and have already joined the local society expressing their desire to become permanent residents of the village (Associated Press, 2016).

The above practices highlight the possibility of utilizing abandoned buildings in order to integrate refugees. Given the proportions, the adaptation of this specific practice by Greece could also have positive effects in the revitalization of areas as well as the parallel relief of a number of people that need a roof over their heads. Such a possibility is examined in the context of this paper. A central part of Athens is used as a case study.

Methodology

As a case study area, the 6th Municipal municipal district of Athens was selected. It includes the following neighborhoods: Ano Kypseli, Kypseli, Nea Kypseli, Amerikis Square and Attiki Square (Figure 2). The reasons why this specific area was selected are the following:

- It is located in the innermost part of Athens. However, it is not consist of a financial district but an area where various neighborhoods are located in.

- It is an area that has been home for a large number of refugees and immigrants. Thus, a proportion of residents feel unsafe and threatened by foreigners (xenophobia) (Bartatilas, 2015).
- Diversity is observed. Not only in people but also in buildings as a result of the alteration of their previous identity. Thus, they consist of transformed neighborhoods (Bakogiannis, et.al., 2015).

The question raised is: in which way a central area like this one, the character of which has been transformed over the years, can be an ideal place for permanent residence of refugees by reusing the existing building potential. The aim of this paper is to identify non-used buildings that, after a refurbishment, can be used as residences. In that way refugees can be smoothly integrated in the Athenian society. At the same time, those neighborhoods can be regenerated, as it was highlighted through the case studies research.

In order to gain that goal, land uses have been recorded (ground floor as well as storeys) through a field research. Locally listed buildings have been identified and assessed about their condition (Papadimitriou, 2015). As a result, conclusions have been drawn concerning the existing building potential is suitable to meet the required needs for housing in the central part of Athens.

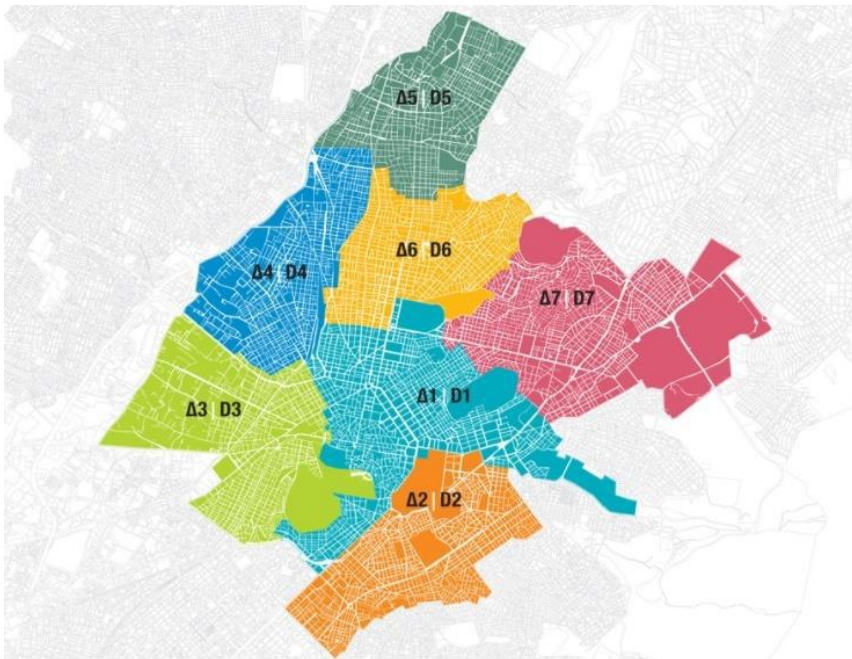


Figure 2. The Municipal Districts (MD) in the Municipality of Athens. MD 6 is the case study area. Source: <http://modmov.ellet.gr/maps/>

What is happening in the central neighborhoods of Athens?

Through the recording of land use in the study area, it was noted that the dominant use was residence. In total 11 different land use categories were registered (Figures 3 and 4). Central functions (commerce and leisure) are located along important roads and pedestrian streets. As a result, informal urban clusters are developed across the city center.

Such areas are Attiki Square and Amerikis Squares, as well as the areas along Patision, Acharnon, Kipseli streets and Fokionos Negri Pedestrian Street. At the above areas, commercial functions and leisure are located mainly at the ground floor of buildings. The biggest part of the area is occupied by residences that are located even on the ground floor of the buildings. It should be mentioned that in the context of this research an assumption was made in order for the recording process to be facilitated: semi-underground apartments were considered as ground floor apartments (Figure 5).

The second most popular land use is that of empty spaces. Such spaces are considered ground floor spaces which, although in the past were used, nowadays are not used, as an aftereffect of the economic crisis (Figure 3).

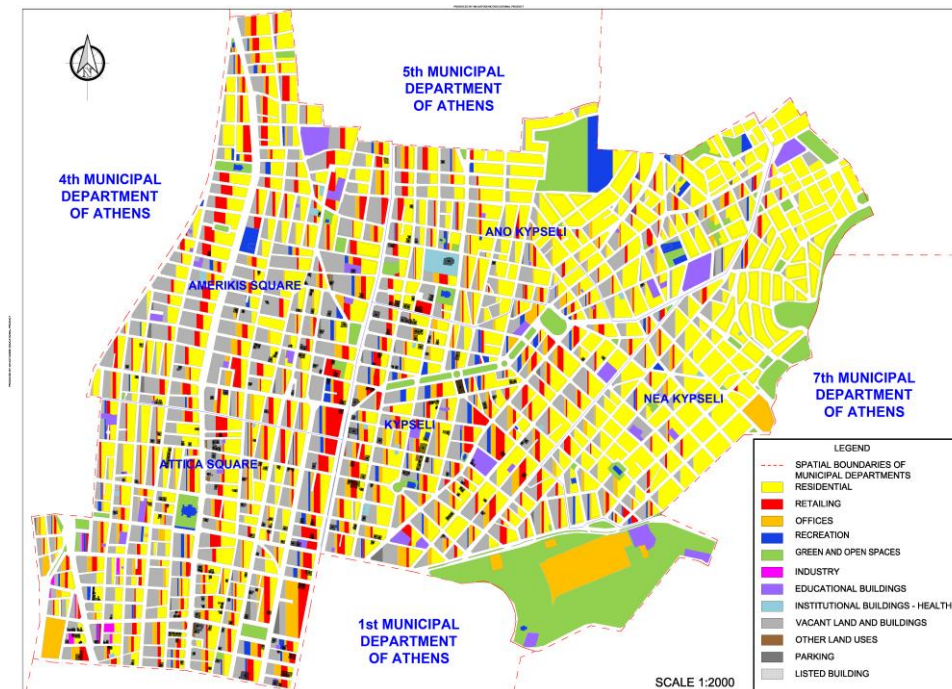


Figure 3. Land use recording (ground floors). Source: Own Elaboration.

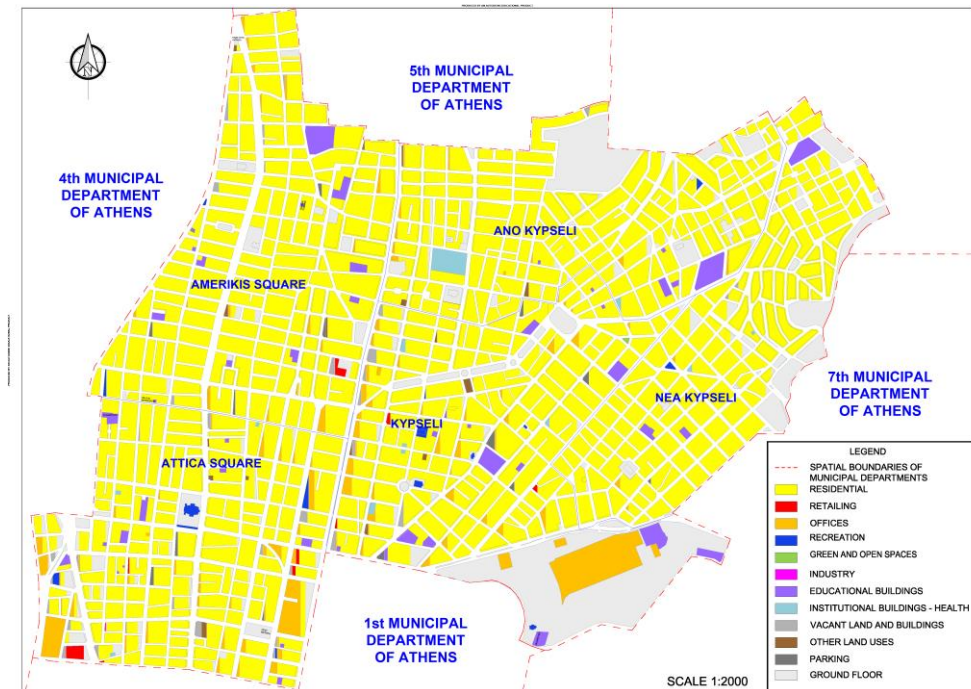


Figure 4. Land use recording (floors). Source: Own Elaboration

Figure 6 presents the listed and non-used buildings in the research area. In total, 288 listed buildings are located in the area, 120 of which are uninhabited. Therefore, 41.6% of buildings are not in use. Obvious is that Attiki Square and Amerikis Square areas are where the largest volume of such buildings is located. Many of them are mentioned as listed for over 30 years but so far no maintenance, restoration or reuse works have been made in order to operate again.

Most buildings are in bad shape, since damages are located both on their inside and outside, as well as on roofing and electrical equipment. Thus, budget line is in need for their repair in order to become habitable. Their surface is large since most of them were built during Interwar period. In this context, a building could be divided to, at least, two smaller in order to facilitate more families. Taking into account that a single person living by himself should have at a minimum 25 square meters of residential space, it is ascertained that 2,806 people can be housed in residences of a total surface of 70,155 square meters.

Bearing in mind that asylum applications up to 2017 were 58,661 (Newsroom, 2018), it is noted that such an intervention could satisfy about 4.8% of them. An important fact is that most uninhabited listed buildings are relatively close resulting in enabling their communication, the growth of social network with others of the same nationality and their feeling of a familiar environment towards them. However, due to the fact that the buildings are located in a large spatial unity, ghetto phenomena are unlikely to happen. Besides, the number of refugees that could live in this area utilizing the specific method is quite small in relation to the population of the study area.

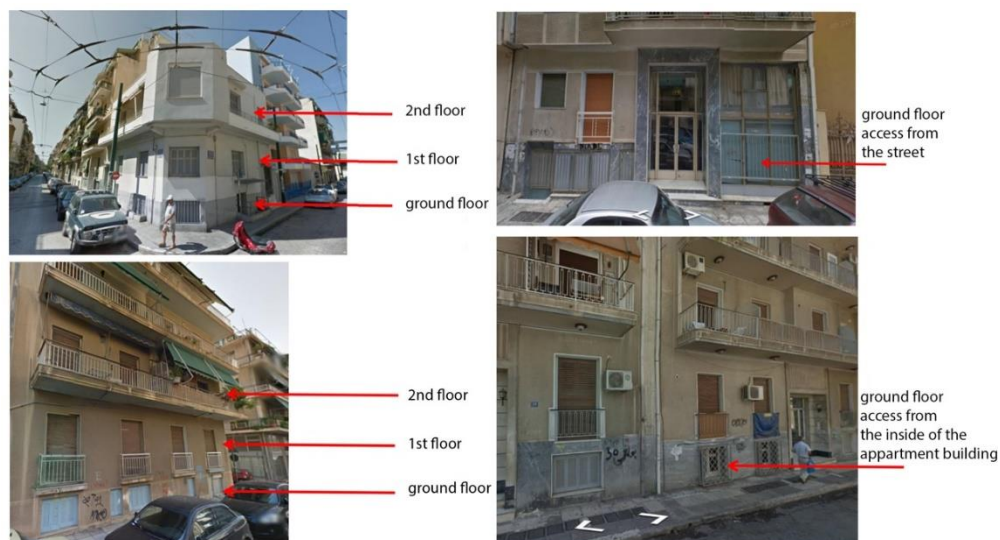


Figure 1. Buildings in the case study area. Source: Google Street Maps.

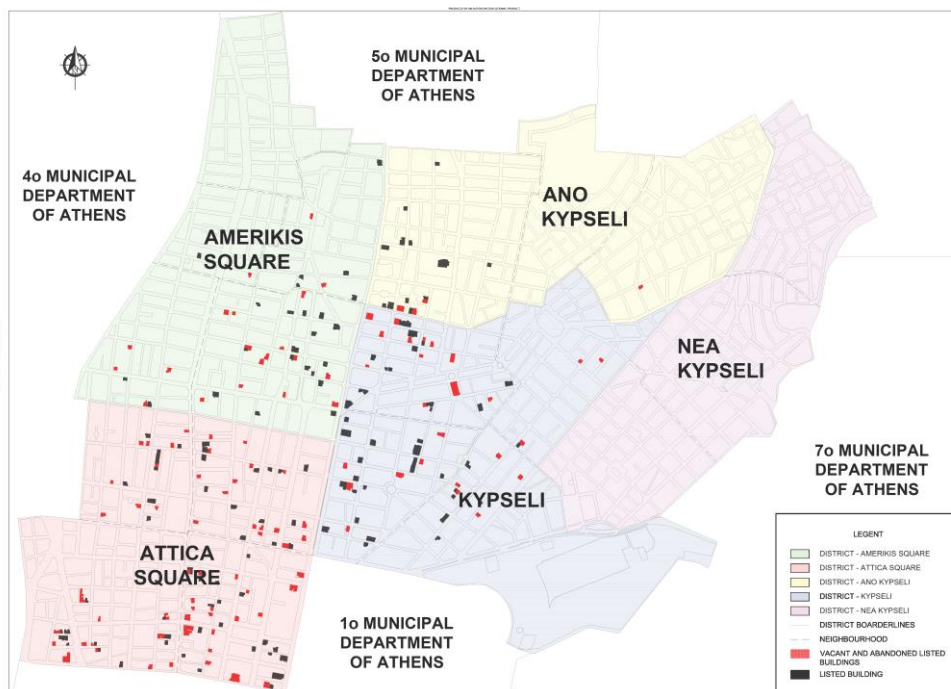


Figure 6. Listed and non-used buildings in the case study area. Source: Own Elaboration.

The possible facilitation of refugees in the study area can also have positive effects on the economic activity of the study area due to the fact that a large number of empty ground floor stores are now available. In time, the new population of the

area could work professionally at the same area with positive effects in the economy of neighborhoods. Besides, there are many stores in several areas of the center where the owners are immigrants.

Conclusions

The refugee crisis concerns many people across Europe due to its large scale during the last years. In Greek society the phenomenon is intense and in combination with the economic crisis, it doesn't allow Greece to correspond in the best possible way. The finding of economic solutions is the target for the housing of the large number of people. In these interventions the use of the current buildings is imperative within cities and settlements of the country. The specific practice has been applied to different cases across Europe, like in the case of Suttera and Golsow villages examined above.

The reasons for characterizing this solution as viable are: (a) this specific solution is more economical, in relation to practices concerning the construction of new areas for refugee residences, meaning the extent of cities or creation of new settlements and (b) even though in cases of abandoned or listed buildings, their restoration is a procedure of great cost, however, European Union provides funding tools towards this direction, as shown from the examination of case studies across Europe. In this way, the absorption of capital is not superficial and budget lines function as a temporary liquidity injection in the Greek market but at the same time essential since buildings in the city are restored and their architectural inheritance and historic identity are preserved.

In this context, this specific study focused on the research of the current situation in central neighborhoods of Athens. Studying the land uses and the presence of possible usable buildings of the 6th municipal district of Athens, the following statements are noted:

- There is a large number of uninhabited listed buildings which were not used, for many years, and there is no effort of restoring them. Their possible usage of housing refugees can help up to 2,806 refugees to find a house. Such an action should not be confused with confiscation of the owners' estate but as a short term reciprocal concession of their property due to the benefit related to the free restoration and renovation of each building. The implementation of this specific action is in the political will, after the owners' consent of those buildings.
- The diffusion of an important number of refugees in a wide urban unity rather their concentration in a neighborhood can contribute in their smooth integration to the Greek society. The neighboring of their residences with Greek households and people of the same nationality in neighborhood level contributes to the growth of such social networks. Furthermore, the fact that central functions such as services, recreation and commerce are located, allows the creation of intercultural social networks.
- Beyond the benefits that owners of such houses are expected to have, some benefits for local society arise too: (a) aesthetic due to the improvement of structured environment, (b) reduction of the delinquency and the sense of insecurity, due to the previous ascertainment and (c) socio-economic benefits due to new residences. In this context, the development of motives for the integration of refugees can contribute to the activation of some of these non-used spaces located at the ground floors of the study area and their use for commercial purposes.

The implementation of this specific practice can be a pilot effort across Greece, in order to assess its results in the near future. In case the results are positive it could be assumed that it is possible to apply such interventions across Athens and other Greek cities in order for refugees and immigrants to be smoothly integrated into Greek society. At the same time, the building potential is preserved and cities are transformed into more compact urban cores and, therefore, more sustainable.

References

- [1] Associated Press, 2016. German town turns to Syrian refugees to save its school. [Online] Available on: <https://www.scmp.com/news/world/europe/article/1964321/german-town-turns-syrian-refugees-save-its-school> [Retrieved on January 18, 2019].
- [2] Bakogiannis, E., Kyriakidis, C., Siti, M., Siolas, A. and Vassi, A., 2015. Social mutation and lost neighborhoods in Athens, Greece. *International Journal of Management and Social Science*, 3, 34-41.

-
- [3] Bartatilas, L., 2015. Kypseli: Research for mapping the neighbourhood. Athens: NEON Community project. [Online] Available on: https://issuu.com/loukas_bartatilas/docs/neon_community_project_2015_kypseli?%20utm_source=conversion_success&utm_campaign=Transactional&utm_medium=email [Retrieved on January 18, 2019].
 - [4] Bell, M., 2017. Worried about its future, this former East German city recruited Syrian refugees. [Online] Available on: <https://www.pri.org/stories/2017-01-10/worried-about-its-future-former-east-german-city-recruited-syrian-refugees> [Retrieved on January 18, 2019].
 - [5] Ciprian, G., 2018. Sutera, a Sicilian town reborn with immigrants. [Online] Available on: https://giannicipriano.photoshelter.com/gallery-image/20180108-LIBERATION-Sutera/G0000ZwpUCN7QCss/I00004JislxjtKKc/C0000.M_MLoNYf0s [Retrieved on January 18, 2019].
 - [6] DevelopAthens, n.r. Housing scheme for asylum seekers. [Online] Available on: <https://www.developathens.gr/el/πρόγραμμα-στέγασης> [Retrieved on January 14, 2019].
 - [7] Emergency Support to Integration and Accommodation (ESTIA). Statistics. [Online] Available on: http://estia.unhcr.gr/el/home_page/ [Retrieved on January 21, 2019].
 - [8] European Commission, 2018. European Civil Protection and Humanitarian Aid Operations. [Online] Available on: https://ec.europa.eu/echo/where/europe/greece_en [Retrieved on January 14, 2019].
 - [9] Giannakopoulos, G., & Anagnostopoulos, D. C., 2016. Child health, the refugees crisis, and economic recession in Greece. *The Lancet*, 387(10025), 1271.
 - [10] Le Blond, J. and Welters, G., 2017. Syrian refugees breathe new life into shrinking German village. [Online] Available on: <https://www.unhcr.org/news/stories/2017/2/589c33054/syrian-refugees-breathe-new-life-shrinking-german-village.html> [Retrieved on January 18, 2019].
 - [11] Lianos, N., 2016. Housing rehabilitation of refugees. [Online] Available on: https://www.lifo.gr/articles/greece_articles/123756 [Retrieved on January 14, 2019].
 - [12] ModMovAthens, 2013. Maps. [Online] Available on: <http://modmov.ellet.gr/maps/> [Retrieved on January 21, 2019].
 - [13] Mogli, M. and Papadopoulou, M., 2018. «If I stay here, I will learn the language»: Reflections from a case study of Afghan refugees learning Greek as a second language. *Research Papers in Language Teaching and Learning*, 9(1), 181-194.
 - [14] Newsroom, 2018. Increased asylum applications for refugees and immigrants in Greece. [Online] Available on: <https://www.dikaiologitika.gr/eidhseis/koinonia/201216/afksimenes-oi-aitiseis-asylou-prosfygon-kai-metanaston-gia-tin-ellada> [Retrieved on January 18, 2019].
 - [15] Open Migration, 2018. The 10 best articles on refugees and migration 12/2018. [Online] Available on: <https://openmigration.org/en/web-review/the-10-best-articles-on-refugees-and-migration-122018/> [Retrieved on January 18, 2019].
 - [16] Papadimitriou, M., 2015. *Developing of a database for recording, checking protection and re-use of listed buildings across the 6th Municipal District of Athens - Undergraduate Thesis*, School of Rural and Surveying Engineering, National Technical University of Athens.
 - [17] Schiffauer, W., 2019. The refugees-welcome movement: A new form of political action. In: Bock, J.J. and Macdonald, S. (eds) *Refugees welcome?: Difference and diversity in a changing Germany* Berghahn Books, 288-310.
 - [18] Tondo, L., 2016. How one Sicilian village learned to love migrants. [Online] Available on: <http://time.com/4186819/sutera-sicily-migrants/> [Retrieved on January 18, 2019].

-
- [19] Tondo, L., 2018. "They are our salvation": The Sicilian town revived by refugees. [Online] Available on: <https://www.theguardian.com/world/2018/mar/19/sutera-italy-the-sicilian-town-revived-by-refugees> [Retrieved on January 18, 2019].
- [20] Triandafyllidou, A., 2009. Greek immigration policy at the turn of the 21st century. Lack of political will or purposeful mismanagement? *European Journal of Migration and Law*, 11, 159-177.
- [21] Urbano, A., 2016. One Sicilian village's lesson to Britain. [Online] Available on: <https://expose.com/2016/11/08/one-sicilian-villages-lesson-to-britain/> [Retrieved on January 18, 2019].
- [22] Vergeti, M., 1992. The pontian identity of the 3rd generation. In: Kitromilidis, P. (ed). *Bulletin of the Asia Minor Studies Center: Asia Minor Catastrophe and the Greek Society*, Vol. 9, 79-96.
- [23] Yowell, B., 2017. How Syrian refugee families saved a village in Germany. [Online] Available on: <https://borgenproject.org/syrian-refugee-families/> [Retrieved on January 18, 2019].
- [24] Zancan, N., 2016. A dying town in Sicily, reborn with immigrants. [Online] Available on: <https://www.lastampa.it/2016/02/29/esteri/a-dying-town-in-sicily-reborn-with-immigrants-rrlEsB4AUrZhRDgnlyJBWL/pagina.html> [Retrieved on January 18, 2019].

Have You Ever Seen the Void? Interest Groups Concerns Toward the Weakening Representational Role of Political Parties in European Countries

Chiara Fiorelli

Abstract

Contemporary democracies face a trend toward the diffusion of the representational void left by under-legitimized political parties (Mair 2013). The essential functions of traditional political parties to organize and articulate political conflict and societal interests have been challenged both from the inside of the party system, by the emergence of populist habits of newcomers, and from the outside, by the progressive erosion of old political culture and corresponding increasing of hostility feeling. Intermediaries organizations of political and economic interests usually push their demands toward political actors in order to shape policy choices. What can happen when the traditional party system suffers from de-legitimation? In this paper, I will try to understand the level of concern of interest organizations toward the progressive detachment of civil society from political actors, in order to define if the risk of a void of representation is perceived as real and contingent. Thanks to a new original European dataset (the Comparative Interest Groups Survey), the analysis shows that different types of interest groups perceive the void to be real and with a possible impact on their activities and their own survival. As expected, in the regression model, differences emerge between countries with a traditional strong interests' system and countries where groups activities are usually barely regulated. The results support the idea that the distance between civil society and political representatives should be considered a prominent focus of contemporary social and political investigation in order to understand the challenge for democratic life and the possible strategy of reaction.

Keywords: representation, intermediation, interest groups, comparative perspective

Introduction

Contemporary democracies face various challenges that are threatening its representative basis. Among European countries, the trust in institutions, politicians and political parties is decreasing, along with their legitimation.

Peter Mair (2013) emphasizes the risk related to the void of representation left by the decreasing role of political parties as traditional intermediaries of civil society instances that could lead toward a change in the type of democracies western countries are used to know, not representative any longer.

The threat to democracy comes from both side of the society: on one hand, politicians, and so governments, seem to be less and less accountable for their choices because they are subject to

pressures and instances coming from a multilevel political scenario and they are also enlarging the gap between them and the citizens; on the other hand, the civil society seems to be more and more critical to the political process and also increasingly disaffected from the traditional ways in which politics, and so representation, is organized -through parties, delegation, etc. (Mair 2013).

In contemporary scenario, the void left by the disaffection and the lack of general representation can become desirable to many other actors, international or national ones, with the risk that specific interests overtake the position of collective interests in the ordinary political work, leading to a more micro-policy oriented governments responsive to specific interests.

If we move our attention toward politicians and governments, the challenge to party-government and the progressive establishment of parties as agents of the state rather than civil society' representatives has led to a decline of partisanship in policy-making and in governmental activities (Mair 2008), due in part to the concurrent decline of collective identities within western electorates. This process undermines the accountability of governments and politicians and creates the opportunity for non-majoritarian institutions to rule or take advantage of this situation (Majone 1996). Non-

majoritarian agencies (es. NGOs or sectorial associations) are considered to be less accountable for their choices and their behaviour in contrast to political parties and politicians that are usually evaluated by their electorate.

Overall, the traditional political collective actors represented by political parties are losing their role as intermediaries that channel societal demands. This declining trend raises fundamental questions in democratic systems concerning the way political conflict should be managed when traditional intermediaries do not reflect the current environment.

In this scenario it is fundamental to ask whether or not interest groups react to, and perceive, the growing distance between politicians and citizens. In order to understand the strategies and the representative role of organized interests, this paper aims to define if intermediaries' associations are defining themselves as alternative to political parties (Dalton 2002).

Therefore, the underlined hypothesis of this paper will be that the coexistence of disaffection from traditional politics by both citizens and politicians creates a void in the political arena that increases the perceived relevance of specific interest groups in a society as political intermediaries.

Analysis is based on the data coming from the Comparative Interest Group Survey¹ considering the organization level as unit of investigation.

Literature review

Two basic assumptions apply to democratic societies: first, that elected politicians should pursue the public interest, and second, that citizens should be guaranteed inclusive participation (Melchionda 1997). On the one hand, inclusion and the right of opposition are the main defining features of the level of democratisation (Dahl 1971). On the other hand, modern democracy is largely based on two factors: representation, understood as meaning 'acting in the interest of the represented, in a manner responsive to them' (Pitkin 1967: 209), and the existence of repeated, transparent elections to guarantee the legitimacy of the elected representatives. In this scenario, political parties, as collective actors, play a fundamental role representing the civil society cleavages by competing with each other in democratic elections (see Dahl 1971, Schattschneider 1942, Lipset and Rokkan 1967).

The main focus of this kind of debate is related to the role of representation, both political and societal one. The most basic definition of representation is based on the resemblance between representatives and represented. Sartori (1987) points out that the concept is multidimensional: it embraces political, sociological and legal aspects. As Urbinati and Warren (2008) indicate, parliaments are the primary loci of representation but the word can be understood as a principal-agent relationship (Pitkin 1967); or as a space within which the sovereignty of the people is identified with the state power (electoral representation); or can indicate the mechanism that ensures some measure of responsiveness; or can recall the value of political equality thanks to the universal franchise. In this scenario, "political parties are the key representative bodies within representative governments. Their representative functions include aggregating and deliberating interests and values, linking issues through programmatic visions in an increasingly segmented political environment" (Urbinati and Warren 2008:400).

The hollowing of traditional cleavages, and the way citizens behave into the political arena, as well as the way they look for representation, has defined new interactions between the civil society and

the parties as intermediary actors of their interests. However, it is widespread among scholars the opinion and evidence that the role of party is declining, or better changing, in advanced societies. As Ignazi (1996) noted, the party decline concerns a certain type of party: the mass party. Mass parties failed to meet the demands of a new western public in articulating and in aggregating interests (Lawson, 1980).

However, if political parties can be considered the most privileged actors in a political system, for their direct access to the public decision-making process through the electoral legitimation of citizens, they are not the only ones that represent and articulate demands toward the political system. Civil associations and organized interest groups are usually created and arranged for this purpose, helping the system to articulate the specific demands of their main concern.

¹ Beyers, J., Bernhagen, P., Borang, F., Braun, C., Fink-Hafner, D., Heylen, F., Maloney, W., Naurin, D., Pakull, D. (2016) Comparative Interest Group Survey Questionnaire (Edition: January 2016). University of Antwerp.

It is evident that in western democracy, representation is changing for parties but not for interest groups. Parties are considered to be less and less responsible for the collective will, while the aim of organized interests does not change: they are accountable for a specific representation, the one of their small, narrow and particular constituency

Societies are drastically changing, and are facing challenges that undermine the traditional actors in political competition. Political parties are in decline, with party membership decreasing rapidly almost everywhere in established democracies (Mair and Van Biezen 2001, Scarrow 2002). Increasingly few citizens choose to identify themselves and their interests with these parties (Dalton 2002), and the overall trust in political parties and their political skills has considerably decreased (Pharr, Putnam, and Dalton, 2000).

Nonetheless, political parties remain the most powerful political actors, with their direct access to public office. Despite evidence of their decline (see Ignazi 2014), they play an important connecting role between the state and the citizens (see Bartle and Bellucci 2009).

As Mattina (2011) stands, interest groups can answer to the demand of society for organization, expertise, resources and legitimation. For many scholars, groups provide a mechanism through which citizens who have a shared attitude or a shared interest can come together and transform their collective resources into political action (Thomas, 2001). For this reason, the interest group, as a secondary association, contributes to the political intermediation (Van Deth, 1997; Gunther et al., 2007). As Bellucci et al. (2007) pointed out, in political commitment, unions and professional associations are far more effective in acting as political intermediates. Secondary associations based

on traditional cleavages still have higher capacities to encapsulate segments of the electorate than any other civic groups. In the political system, social cleavages are usually articulated through and with the help of intermediary organizations (Easton, 1965).

As Aarts (1995) shows, the increase in material wealth has made material inequalities less important and the rise of new mass media has challenged the role of social organizations. However, even if the political linkages have declined as consequence of long-term developments, there is non evidence for a general decline in individual linkages to intermediary system. The risk is straightforward, if political parties detached themselves from civil society, whilst individuals are still engaged in associations, in the long run the legitimation of the system can be at compromised (Aarts 1995).

To be representative, an interest group should be embedded in a political system as an external intermediary actor supported by the legitimation of its identity in the environment. The access of organized interests to the political system is subject to the social reputation of the group; its membership; and the presence of authoritative representatives, expertise and systemic factors, such as institutional constraints, traditions of policy making and political system features (Morlino, 1998). These factors contribute to shaping the basic distinction between insider and outsider groups: the former are those groups recognized as political interlocutors by the political system; the latter usually act outside the institutions and through indirect lobbying (Grant, 2005).

Looking at the more general perspectives, research in this field has usually followed three different approaches: the corporatist, the pluralist and the elitist (Yishai, 1991). In the U.S. literature, the pluralist and neo-pluralist approaches have attracted a lot of attention since the beginning of group studies (see Bentley, 1908; Truman, 1951). This school argues that no particular interest groups dominate in specific policy arenas but, rather, there is a plurality of actors competing or co-operating with each other (see Berry, 1984; Bosso, 1987). This perspective was in contrast with the elitist one that believed that special interests were dominating in specific policy arenas (Olson, 1965; Lowi, 1969).

On the contrary, European scholars were much more attracted by the corporatist and the neo-corporatist perspectives, due to the rise of social pacts among European countries in the 1970s (see Lehmbruch and Schmitter, 1982; Crouch, 1993). According to Wessels (1996), organized business tends to be more powerful in countries with a corporatist tradition, such as Northern Europe countries, Germany, Austria and Netherlands. In Italy the organized business sector looks

differentiated and with low pressure power. In addition, it has been described a trend, in the Italian interest system, toward fragmentation and differentiation (Lizzi and Pritoni 2017). The same pattern is recognizable for trade unions, which are powerful in corporatist countries and highly fragmented elsewhere, as in Italy, France and Spain. For the new democratic

countries, such as the former URSS or the former Yugoslavia countries, some elements of corporatism persist in the pluralist environment of democratic transition (Luksic 2003, Hrebear et al. 2008).

Despite the dominant theoretical perspective adopted in the past, interest group studies seem now to converge (Mahoney and Baumgartner, 2008). European scholars were usually deeply rooted in policy system dynamics, while U.S. scholars were more concerned about lobbying activities. Currently, both seem to focus on the impact of government structures on the development of national interest systems. However, the aforementioned studies considered political parties and interest groups as two autonomous actors, focusing on one side or another, or considered them as alternative intermediaries (Dalton 2002), emphasizing their functional differences (Bayers et al., 2008) or their connection with governing parties.

Hypothesis and Data

The current literature has not taken under investigation the role that interest groups may absolve in contemporary democracies facing the progressive de-legitimation of traditional political actors, such as political parties. This paper wants to fill this gap by providing a first empirical attempt to analyse the perception of organized interest toward the weakening of trust in political actors.

Usually, the limit regarding the availability of data and the sectorial focus on interest groups strategies have been an obstacle toward a more systematic analysis on the relationship between groups and political parties, as well as toward a deeper understanding of groups' evaluation of the progressive de-legitimation of politicians.

The main hypothesis of this work is that those organized interests and interest associations do not consider the progressive detachment of citizens from their political representatives to be a relevant issue.

This hypothesis is based on the idea that stronger organized groups – those with membership-based participation, and those with a stronger organizational structure (thus unions and business groups)- already perceived themselves as political intermediaries, or political alternative, to political parties.

The void of representation between citizens and political parties can thus perceived as a real threat to democratic process only among those groups that present a dependence on political parties' intermediation and where the access to the policy-making process necessarily involve the intermediation of political actors.

Analysis are based on the Comparative Interest Group Survey. The project involves 9 European countries (Belgium, Netherlands, Czech-Republic, Italy, Lithuania, Poland, Slovenia, Spain, and Sweden). Up to now, data are available for 6 countries. The aim of the project is to collect and to provide data on interest organization and to map the strategies and the role of interest groups in Europe. Most of survey were collected between 2015 and the end of 2017.

Analysis and Results

The Comparative Interest Group Survey offers an opportunity to investigate the perspective of interest groups in different European countries over strategical and organizational features.

As far as the aim of this paper is to provide evidence that interest organization recognize the weakening of traditional political actors and perceive it as either an opportunity to cover the void of representation left by the progressive distance of citizens from politicians or as a threat to their own subsistence, it is fundamental to take under consideration the characteristics that can shape this perception.

The analysis that follow should be considered as explorative of a new perspective on the relation, and re-action, between interest groups and traditional political actors.

First of all, Table 1 shows the composition of the sample taken under investigation. The organizations that answered the survey were 4650 for the 6 countries considered: Belgium, the Netherlands, Italy, Slovenia Lithuania and Sweden. Most of the organizations are related to Institutional and Public interests, followed by Business and Occupational groups. The categories of interest less represented in the sample are Unions and Religious ones. The former are usually bigger groups with less internal fragmentation and the latter, although strongly present, depend on the cultural and traditional arrangements in society.

Institutional and Public groups are strongly represented in Sweden and the Netherlands, Occupational groups emerge as predominant category Lithuania and Slovenia, while economic groups -Unions and Business- are particularly relevant in the Italian sample.

Tab.1 - Sample Distribution on Type of Organization and Country (%)

	NE	BE	IT	LI	SL	SW	N.
Unions	1.4	2.0	16.5	5.6	7.7	2.8	207
Business	16.0	22.6	28.2	22.3	9.3	19.0	906
Institu./Publ.	30.1	23.3	23.0	14.5	10.3	49.4	1455
Occupational	17.0	23.4	12.3	35.2	36.0	14.0	932
Identity	11.8	7.5	13.8	7.5	7.1	2.9	344
Leisure	13.3	14.3	2.9	7.8	22.3	9.1	533
Religious	10.4	7.0	3.1	7.0	7.3	2.8	273
N.	874	959	478	358	439	1542	4650

Source: *Comparative Interest Group Survey (www.cigsurvey.eu)*. Author's elaboration

There is a difference in representation dynamics of an interest group between potential and actual representation. The first one represents the complete set of individuals that are sharing a particular interest or demand for a specific political intervention on the basis of a common status/economic/cultural/spiritual goal; on the other hand, the actual representation is the effective number of citizens/worker/companies that are members of a specific association. In the sample considered, Business, Institutional and Occupational association declared, on average, to represent more than 50% of their potential members, while Unions, Identity groups and Religious associations are above the half of their possibility¹.

In addition, the role of members for the various activities pursued by the associations varies among countries. Members are considered to be important for different activities in Lithuania, Slovenia, Italy and Sweden, while in the Netherlands and Belgium members received, on average on the various activities, less attention.²

If we want to see if and how interest organizations are acting as representational actors in a political system, the strategy of action they pursue should be evaluated through their main activity chosen. Table 2 reports the share of organizations in each country that declared to have among the main purpose the one of representation, mobilization or media campaigns. All those activities may favour a partisan recognition of the organization by not only their specific members.³

Tab.2 - Interest Organizations involved in activities (%)

	Representation	Mobilization	Media Campaigns
IT	75.6	60	69.7
BE	64.5	52.2	29.8
LI	82.9	63.5	27.8
NE	61.6	32.4	27.3
SL	41.8	50.6	29.8

¹ The original question was: "What percentage of potential members are actually members of your organization?"

² The question asks: "How important are members to your organization with regard to the following activities?" regarding 6 different activities such as generating income for the organization, providing idea or helping to influence public policy (scale from 1= Not at all important to 5= Very important).

³ Business groups and the Netherlands as reference category.

SW	72.9	45.7	40.9
Overall	65.9	48.3	35.9
N.	2424	1774	1315

Source: Comparative Interest Group Survey (www.cigsurvey.eu). Author's elaboration

In Italy, interest organizations responding the survey seem to cover all the activities that have a potential influence on the citizens. In Belgium, the Netherlands and in Lithuania most of the organizations prefers to focus on representational and mobilizing activities. Slovenian organizations focus on mobilization while in Sweden there is a preference toward representational activities. The case of Italy should be noted: it is the only country where the media campaigns are declared as an important activity for over the 60% of the associations interviewed.

Table 3 shows the average share of time that organisations spend between direct strategies, such as contacts with politicians and civil servants and indirect strategies, such as media coordinating, letter writing, e-mailing or social media campaigns, rallies and demonstrations.

Business organizations seem to be more involved in Direct strategies, followed by Unions, Institutional groups and Occupational (all the groups demanding for specific policy aims). Differences among countries emerge: organizations in Italy, Sweden and Lithuania are more involved in Direct strategies of action, while in Belgium, the Netherlands and Slovenia, on average, associations declared to prefer to act through indirect pressure.

Tab. 3 - Percentage of time spent by Interest Organizations in Direct or Indirect strategies (%)

	Direct Strategy	Indirect Strategy		Direct Strategy	Indirect Strategy
Unions	46.13	49.53	IT	48.35	47.93
Business	49.48	46.27	BE	39.56	50.63
Institu./Publ.	46.56	48.76	LI	41.86	59.27
Occupational	40.04	52.18	NE	39.94	48.42
Identity	38.17	52.83	SL	31.68	50.35
Leisure	35.63	51.34	SW	45.67	53.75
Religious	34.07	58.30	TOT.	41.63	51.59

Source: Comparative Interest Group Survey (www.cigsurvey.eu). Author's elaboration

After the report of the activities of organizations and the role they recognize to their members in shaping their strategies, it is important to see how interest groups perceived the growing distance between citizens and politicians as a challenge for their own survival. The distance between citizens and politicians can be understood as proxy of the void of representation of political actors, as far as the latter are considered to be less and less responsive to the requests of the former and this dynamic may create a representational space to be fulfilled.

Table 4 reports the percentage of organization identifying the growing void as a challenge that they have to face¹. Most of the organization seem not to consider the distrust over politicians important, while only 12.6% of the associations recognize it as a very important issue to be considered.

Among countries, in Slovenia and Lithuania organizations are distributed along the all points of the scale, in Belgium and, especially, in the Netherlands interest organizations tend to not consider it as an important challenge to face, while in Italy the most of the respondents are well concerned about the space that divides citizens and their political representatives.

¹ The original question asks: "How important are the following political challenges for your organization? The distance between individual citizens and policymakers (" in a 5 points scale from 1(= not at all) to 5 (=very important). In Sweden the question was not on the questionnaire.

Ove all the countries, 62% of Unions organizations consider this topic to be a very important challenge to face, followed by Public

groups and Religious associations (39% and 35%), while only the 20% of Business groups declared to have the same perception.

Tab.4 - Perceived importance of the distance between citizens and policymakers as a challenge (% of organizations)

	Not at all imp	Not very imp	Neither imp nor unimp	Important	Very important	N.
IT	12.7	9.6	12.4	34.5	30.7	394
BE	39.3	16	19.4	17.1	8.1	725
LI	20	9.1	23.7	26	21.1	350
NE	75.4	8.5	8.7	5.9	1.6	698
SL	28	13	16.8	27.4	14.7	368
TOT.	40.8	11.6	15.6	19.4	12.6	2535

Chi-squared: 737.633 (0.000)

Source: Comparative Interest Group Survey (www.cigsurvey.eu). Author's elaboration

In order to evaluate the impact of the variable consider, Table 5 reports the coefficient of a regression model (OLS with fixed effects) ran on the importance of the distance between citizens and politicians¹. The variable does not tell us if the distance is perceived as a threat or as an opportunity for the organization but it can help to understand how they consider the detachment of civil society from political representatives to be a challenge (positive or negative) to face, how interest's organization pay attention to the representative void of political actors. Models have been tested for collinearity and residuals distribution.

As the hypothesis wants to see if interest organizations can be considered as alternative representative actors to political parties, I should expect that the role of members, structure of the organization on the country and the presence of others challenging actors may be relevant: more importance of members in shaping the political strategies, more organizational chapters and more challenging actors should rise the importance of the question of void. In addition, the type of interest covered by the organization should also affect the perception of void: economic and institutional groups should pay more attention to the growing distrust toward politicians because they are usually more involved in direct relations with political actors.

Tab.5 - Regression model (OLS -f.e.) on perceived importance of the distance between citizens and policymakers⁶

	Mod.1	Mod.2	Mod.3
Members on Pol. Strategies	0.201	0.214	0.13
s.e.	0.043	0.031	0.03
Threat by others	0.472	0.317	0.327
s.e.	0.024	0.027	0.025
Local Chapters	0.484	0.373	0.121
s.e.	0.062	0.062	0.061
Unions		0.497	0.247
s.e.		0.132	0.122
Institu./Public		0.37	0.361
s.e.		0.09	0.082
Occupational		0.085*	0.104*

¹ For the list of variables included see the Appendix.

s.e.		0.083	0.077
Leisure		-0.262	-0.208
s.e.		0.108	0.101
Religious		0.042*	0.208*
s.e.		0.131	0.12
Changes in Public opinion			0.141
s.e.			0.024
Individualization			0.142
s.e.			0.023
BE			0.685
s.e.			0.085
IT			1.768
s.e.			0.098
SL			1.2
s.e.			0.103
LT			1.217
s.e.			0.098
<hr/>			
R-squared	0.243	0.296	0.416

Only variables with (*) are not significant: $p > 0.05$

Source: Comparative Interest Group Survey (www.cigsurvey.eu). Author's elaboration

Other control variables aim to cover the political and cultural environment organizations face. The rapid changes in public opinion may be a risk for representative actors, as well as the growing individualism that threat the collective and aggregating bodies.

From the descriptive analysis, it is evident that variation between countries cannot be neglected. Country variables are a set of national assessments and historical habits. As reminded before, tradition of neo-corporatist actions recognizes and identify a specific, and strong, role to organized interest that usually are directly included in the political system, while a pluralist, or too young, system of interest is often perceived by organization to be less legitimised and stable. As expected, with the "neo-corporatist" Netherlands as reference category the others country show positive coefficient, especially Italy.

Final remarks

The progressive distance between politicians and citizens has created a void of representation that risk to be fulfilled by non-majoritarian agencies or actors that are not accountable for their choices.

This void of representation can be also considered as an opportunity for those associations that are already acting in the name of their constituencies: those with that are presenting a structural territorial organization, those where the members are considered to determinant for their strategic political choices, those that have specific poly aims.

The aim of this paper was to investigate the perception, and the perceived risk, of void of representation by interest associations in different European countries. The results show that the progressive distance between citizen and policymakers is recognized to be a challenge to face by most of the organizations.

In addition, to be accountable to members increase the perception of void as an important issue to consider. Differences emerge between various type of associations: unions and institutional-public ones are perceiving the void as a clear challenge that should be taken under consideration, while leisure associations, with less direct policy involvement, are not.

The organisation of the interest system at national level, as revealed by the impact of country variable in the model, emphasises the national differences. Where neo-corporatist assets of interaction between the political system and the interest groups are traditional – the Netherlands and Belgium- the distance between citizens and politicians is less perceived as a challenge for the organizations, while in countries that

traditionally adopted a pluralist organization of interest system (where access to policy-making is less regulated), such as Italy, the perception increases.

Overall, it is important to stress that organizations that consider their members to be very relevant in determining their strategic political and policy choices are more aware of the risk of void of representation.

Further analysis should start from that point: interest organisations that are already acting as intermediaries of their members and are accountable to members' positions are recognizing the distance between citizens and policymakers as a challenge for their own organization.

The risk of void should be better analysed and stress in further research in order to understand where democratic government, based on the central role of political parties as intermediaries of social conflict and demands, is going through.

Appendix

Dependent variable: Perception of Void between citizens and politicians (1= not at all important; 5= very important).

Predictors:

Influence of Members on organization's decisions on political strategies (reversed: 1= not at all influential; 5= very influential).

Importance of challenges for the maintenance of the organization: Other forms of political participation (1= not at all important; 5= very important).

If the organization has local chapters (1=yes, 0=no)

Control:

Type of organization: dummy variables (1=yes): Business as reference

Country: dummy variables (1=yes): the Netherlands as reference.

Importance of challenges for the maintenance of the organization: Changing of public opinion about the issues important to your organization (1= not at all important; 5= very important).

Importance of challenges for the maintenance of the organization: Individualization (1= not at all important; 5= very important)

References

- [1] Aart, K., A. Blais, and H. Schmitt, eds. 2011. *Political Leaders and Democratic Elections*. Oxford: Oxford University Press.
- [2] Aarts, K. 1995. *Intermediate Organizations and Interest Representation*. In Klingeman H.D. and Fuchs D. (eds.) *Citizens and the State*. Oxford: Oxford University Press.
- [3] Bartle, J., and P. Bellucci, eds. 2009. *Political Parties and Partisanship: Social Identity and Individual Attitudes*. London: Routledge.
- [4] Bellucci, P., M. Maraffi, and P. Segatti. 2007. *Intermediation Through Secondary associations: the organizational context of electoral Behaviour*. In Gunther, R., J.R. Montero, and H-J. Puhle. *Democracy, Intermediation and Voting in Four Continents*. Oxford: Oxford University Press.
- [5] Bentley, A. 1908. *The Process of Government: a Study of Social Pressures*. Chicago: University of Chicago Press.
- [6] Berry, J. 1984. *The Interest Group Society*. Boston: Little, Brown.
- [7] Bosso, C. 1987. *Pesticides and Politics: the Life Cycle of a Public Issue*. Pittsburgh: University of Pittsburgh Press.
- [8] Crouch, C. 1993. *Industrial Relations and European State Traditions*. Oxford: Oxford University Press. Dahl R. 1971. *Poliarchy*. New Haven: Yale University Press.
- [9] Dalton R.J. 2002. *The Decline of party Identification*, in Dalton R.J. and Wattenberg M.P. (eds.) *Parties Without Partisans: Political Change in Advanced Industrial Democracies*. Oxford: Oxford University Press.
- [10] Easton, D. 1965. *A Framework for Political Analysis*. Englewood Cliffs: Prentice-Hall.
- [11] Grant, W. 2005. *Pressure Politics: A politics of Collective Consumption*. *Parliamentary Affairs* 58(2): 366-379.

-
- [12] Gunther, R., J.R. Montero and H.J. Puhle. 2007. *Democracy, Intermediation and Voting in Four Continents*. Oxford: Oxford University Press.
 - [13] Ignazi P. 1996. The Crisis of Parties and the Rise of New Political Parties. *Party Politics*. 2(4): 549-66. Ignazi, P. 2014. Power and the (il)legitimacy of Political Parties. *Party Politics* 20(2): 160-169
 - [14] Lawson K. 1980. Political Parties and Linkage, in Lawson K. (ed.), *Political Parties and Linkage. A Comparative Perspective*. New Haven: Yale University Press.
 - [15] Lehmbruch, G. and P. Schmitter (eds.) 1982. *Patterns of Corporatist Policy-Making*. London: Sage Publication.
 - [16] Lipset, S.M. and S. Rokkan. 1967. Party systems and voter alignments: cross-national perspectives. Free Press.
 - [17] Lizzi, R. and A. Pritoni. 2017. The size and shape of the Italian interest system between the 1980s and the present day. *Italian Political Science Review*. Published online: 30 March 2017.
 - [18] Lowi, T. 1969. *The End of Liberalism: The Second Republic of the United States*. New York: W.W. Norton.
 - [19] Mahoney, C. and F. Baumgartner. 2008. Covering Perspective on Interest Group Research in Europe and America. *West European Politics* 31(6): 1253-1273.
 - [20] Mair P. 2013. *Ruling the Void: The Hollowing of Western Democracy*. London: Verso.
 - [21] Mair P. and van Biezen I. 2001. Party Membership in Twenty European Democracies 1980-2000. *Party Politics*. 7(1): 5-21.
 - [22] Majone G., 1996. Temporal Consistency and policy Credibility: Why Democracies Need Non-Majoritarian Institutions, European University Institute, Working Paper, no.96/57.
 - [23] Mattina, L. 2011. Note a margine delle più recenti ricerche sui gruppi. *Rivista Italiana di Politiche Pubbliche* 6(2): 387-396.
 - [24] Melchionda, E. 1997. *Il Finanziamento della Politica*. Roma: Editori Riuniti.
 - [25] Morlino, L. 1998. *Democracy between Consolidation and Crisis: Parties, Groups and Citizens in Southern Europe*. Oxford: Oxford University Press.
 - [26] Olson, M. 1965. *The Logic of Collective Action*. Harvard: Harvard University Press.
 - [27] Pharr S.J., Putnam R.D. and Dalton R.J. 2000. A Quarter Century of Declining Confidence. *Journal of Democracy*. 11(2): 5-25.
 - [28] Pitkin H.F. 1967. *The Concept of Representation*. Berkeley and Los Angeles: University of California Press.
 - [29] Sartori G. 1976. *Parties and Party System. A Framework for Analysis*. Cambridge: Cambridge University Press.
 - [29] Scarrow S. 2002. Parties without Members? Party Organization in a Changing Electoral Environment, in Dalton R.J. and Wattenberg M.P. (eds.) *Parties Without Partisans: Political Change in Advanced industrial Democracies*, Oxford: Oxford University Press.
 - [30] Schattschneider, E. E. 1942. *Party Government*. New York: Rinehart.
 - [31] Thomas, C. (ed.). 2001. *Political Parties and Interest Groups*. Boulder: Lynne Rienner Publishers. Truman, D.B. 1951. *The Governmental Process*. New York: Knopf.
 - [32] Urbinati, N. and Warren, M. 2008. The Concept of Representation in democratic Theory, *Annual Review of Political Science*, 11: 387-314.
 - [33] Van Deth, J. 1997. *Private Groups and Public Life*. New York: Routledge.
 - [34] Wessels, B. 1996. System of Economic Interest Groups and Socio-Economic Performance. Paper presented at the 1966 Annual Meeting of American Political Science Association, San Francisco.
 - [35] Yishai, Y. 1991. *The Land of Paradoxes: Interest Politics in Israel*. Alabny: State University of New York Press.

Arms up, Guns down. Analyzing the Clash between the Narratives of State and Media Actors on Light Weapons Control in Albania (2017)

Leida Ruvina

PhD Candidate at University of New York Tirana

Expert at the Albanian Ministry of Interior¹

Abstract

The objective of this paper is to reflect on the relation between Communication studies and Security issues, by fitting particular developments into a larger scheme. In my hypothesis, public order and security can never be an exclusive duty of State Police alone, but a joint attempt for common goals. The institutional identity of the Police or Ministry of Interior itself is constituted by their purpose (why they exist), their brand (how they are perceived by others) and their culture (how members interact and work within them). Nevertheless, popular culture and mass media play an important role in effective institutional public communication. The challenge is to prevent, identify and manage incompatible or opposite messages promoted in the content managed by governmental and media authorities of a country, on the same topic, to the same audience, at the same time. By analyzing the behavioral communication and reflecting on how media exposures skew already available mental models to affect judgments, beliefs, and attitudes, I expect to provide a more complete framework on events occurred almost contemporarily, and to contribute in narrative-based persuasion strategies applied by governmental institutions in the future in Albania, suggesting Grunig's systemic approach of Public Relation. In the following work I will construct the media narratives related to light weapons control in the Republic of Albania in 2017, and deconstruct the two incompatible narrative-based strategies in this regard. They demonstrate the need to harmonize the production or diffusion of public narratives and content on specific public order and security strategies.

Keywords: Public Relations, crisis communication, public security, media narrative, cultural studies, Albania, Ministry of Interior, State Police, weapons control

1. Crime and Twenty Years of News Content Shift

Over the past twenty years, the human element is considered to make a story *sexy*, making the emotional side count, while the FACE formula, an acronym for Feelings – Analysis/quick summary – Catastrophe, crime, corruption, color – Energy, has been applied by veteran television reporters. The view has been supported by Cohn (2007: 202) who reminds that before the shift in news content, reporting focused more on hard news, national policies and foreign affairs, rather than on human interest, health, crime, entertainment, scandals and celebrities; nevertheless the FACE formula may be taken as model for all media. As suggested by research from USC Annenberg School's Center for the Digital Future, in the United States, in 2007, experienced information-seekers ranked media and governments sites as more reliable than those published by individuals (Fearn-Banks, 2007: 45). The intermediation with public opinion is considered to be the expertise of public relations professionals.

The father of modern marketing, Philip Kotler (1999) defined the instruments of Public Relations as PENCILS, an acronym of Publication – Events – News – Community – Identity – Lobbying – Social responsibility. In terms of democratic theory, the *public*, meant as the average voter, was a "phantom" to the father of modern journalism and media researcher Walter Lippmann (1920, 1922, 1925), who defended elitism as a distinctive intellectual option to populism, and described the ability that media had in defining what people consider important. The more salience on a topic by media, the more salience on that topic among undecided voters, noted also agenda-setting pioneers McCombs and Shaw (1972: 176-187). But media ability to define "not what to think, but what to think about" (Cohen 1963), is not universal. Cultivation theory (Gerbner 1990;

¹ Disclaimer: Views, thoughts, and opinions expressed in this article belong solely to the author, and not necessarily to the author's employer, organization, committee or other group or individual. Assumptions made within the analysis are not reflective of the official policy or position of any Albanian government entity.

1998) recalls how mass media behavioral communication aims at social recognition through two order effects: on judgments first, and beliefs and attitudes second. In terms of social psychology, according to Olson (1998), the social environment plays a double role, by providing good examples and directing attitudes. Cultural context requires specific approaches to send a message. And the public opinion – or “what the people consider to be important” as defined by Maxwell McCombs (1981) – is both context and destination of the message.

Crime stories appear attracting. Although violence has not professed fans, a study made in 1996 by Pew Research Center found out that in the United States crime outranked in popularity sports, local government, religion, political news and entertainment; culture and arts, show-biz and financial news were the least interesting, a modest audience of 20% was driven by the situation in Bosnia, as 15% by the Congressional passage of a new law dealing with domestic terrorism (Pew Research Center 1996: 13-14). Twenty years hence technology has changed as the attraction points to sensational headlines or pictures drifting into traditional and new media as well. Narrative-based strategies related to crime go from the information-oriented journalistic reporting, to the persuasion-oriented awareness campaigns on governmental social media profiles, up to media coverage of infotainment-oriented sensational showbiz news. As Napoléon Bonaparte once said, “I fear three newspapers more than a thousand of bayonets” (Bernet 2004: 63). And that quote is a reminder that media coverage and advocacy is of particular importance in matters of public affairs.

2. PR theoretical approaches to public security policies and strategies

An advocating process in support or opposition to particular issues is expressed in no other ways than through narrative-based strategies, constructed by experts of communication. Their theoretical PR approach may vary from the rhetorical one of Robert L. **Heath** (2001), where the institutional advocacy includes all the parts interested in the discussion; to the critical Marxist approach supported by Marvin N. **Olasky** (1987), in which public relations constitute the inevitable attempt of hard powers to manipulate citizens' consciousness; and third, the more ethical and acceptable systemic model of James **Grunig** (1992), in which PR constitute the inevitable need of an organization to relate with its influent publics aiming at informing, changing behaviors, and avoiding risks of conflict by knowing and interpreting its publics' values and expectations even before defining its own specific objectives.

Other PR theoretical models differed from Grunig. In the '30s, the propaganda model of *press agency* by the famed showman Phineas Taylor **Barnum** consisted in a one-way communication aimed to sell entertainment by fooling or capturing public's attention through “publicity” in its content rather than truth, considering the journalist as a tool (Barnum 1855: 394-399). In **Ivy Ledbetter Lee's** information model of *public information* (Lee 1906), the PR adviser produces and shares information to the intermediating journalist, aiming to influence public opinion in support to the objectives of the organization, through truth in its content. And in **Bernays'** scientific persuasion model of *bidirectional asymmetric communication*, social research on influent subjects – such as polls and surveys on focus groups – and the hearing or the feedback by persuaded intermediating opinion leaders, were a novelty that defined the PR expert by his competence in creating a dialogue. As Finn considered the *image* – meant by reputation – as a deliberate construction of no real relationship with the corporate identity (Finn 1961), Edward Louis Bernays also admitted that the very term “image” evoked the fact that PR and communication work on illusions rather realities (Bernays 1977), therefore, to convince the audience in a bidirectional asymmetric communication model had to be a duty of the PR adviser.

« Advertise your business. Put on the appearance of business, and generally, the reality will follow. »

- P.T. Barnum (1855: 396).

« This is not a secret press bureau. All our work is done in the open. We aim to supply news. This is not an advertising agency... Our plan is frankly, and openly, on behalf of business concerns and public institutions, to supply the press and public of the United States prompt and accurate information concerning subjects which it is of value and interest to the public to know about. »

- Ivy L. Lee (1906)

« The public relations counsel has a professional responsibility to push only those ideas he can respect, and not to promote causes or accept assignments for clients he considers antisocial. »

- E. L. Bernays (1947: 115-116).

Following the definition in 1923 of his profession as PR adviser, a quarter-century after, Edward Barneys reminded that his profession had its own literature and training courses, that the major themes of a PR strategy emerge from opinion surveys, and that the public begins to act only when suggested by ideological, political or social idea, so only through the engineering of consent as “the very essence of the democratic process, the freedom to persuade and suggest” (Barneys 1947: 113).

But **Grunig** did not suggest a one-way communication aiming persuasion as feedback after a message is sent. Instead, according to his systemic model of *symmetric bidirectional communication*, the PR expert is an active interpreter between an organization and its influential publics, who permits the organization to know, understand and therefore incorporate values and interests of the latter in its own priorities and objectives before communication occurs, avoiding clashes, lacking trust or crisis communication in the future. Hereupon, the principal quality required for efficient PR should be the truth in the content information and the reciprocal understanding, in order to create a relation of quality and trust in the long run. It is not the instant persuasion, but the creation of a durable relation that matters.

Systemic models face different publics and different problems (Grunig & Grunig 1996) and are far more ethically appropriate to corporate communication (Parsons 2005). The more truth, honesty, integrity, professionalism, respect, dedication and transparency are applied in a PR process, the more it may be considered ethical. The context within which public relations experts operate relates to honesty and integrity, as declared in the *Code of Conduct* guidelines by the UK's Chartered Institute of Public Relations (Green, 2010: 223), in the *Code of Ethics* by Public Relations Society of America (PRSA 2000), or in the *Code of Venice* by International Public Relations Association (IPRA 2009).

Public relations also apply to public administration. Once over with election campaigns, governmental PR should aim at the management of the public thing – or *res publica* – through consensus, not conviction. While governments rotate and their political programs change, objectives and missions of the Ministries almost remain the same. In a professional point of view, my assumption is that there is a need for a continuing dialog to elaborate, implement and evaluate public policies in relation to a complex social reality of influent publics. Reforms or achievements in public policies, new models for a crisis solution, proposals to change the legal framework etc., constitute the *product* that each ministry “sells” to the public opinion, but the citizen (differently from a *client*) is still the *Sovran* and the very *raison d'être* of that government. As long as the citizen is “client” but also the “boss”, any Ministry requiring more than a mere spokesman will have an efficient PR adviser only when there is a relation established, maintained and reinforced between the Ministry and influent publics (citizens, opposition, international organizations, groups of interest, journalists, opinion leaders, NGO's, voters supporting or opposing the ruling party, and citizens with no party affiliation). That relation may help Ministries to propose new reforms or legal changes, or report their achievements in this regard.

Ministry of Interior and State Police are no exception. Just like corporate communication, their social success as institutions in charge of public order and security will aim at establishing a reputation, increasing visibility, sharing and consolidating the corporate social identity. The Albanian case is of particular interests in the implementation of PR theoretical models, narrative-based strategies and media studies.

3. The Albanian context of guns control

There is something comic in the arming of civilians in Albania during the last two decades. And it is better represented in the picture showing an armed reggae singer in 1997 and a media announcement by the State Police in February 2017.

In the black and white picture, Dashnor Diko – a citizen with no criminal recordings and well-known artist in the early '90s among Albanians – is shown into the sea, with the water up to his chest, a smile on his face, and an automatic gun in his raised arm. There are two reasons why the image is hilarious every time it is posted on social media. On one side there is the structural, physiological and behavioral environment of the supposed shooting: no murderer with a gun intended to kill goes swimming, and no one intended to take a swim brings a gun with him. On the other side, there is the *ad hominem* argument: Diko was a quiet guy, known among musicians for his songs and sense of humor, far from the sex, drugs, and rock and roll model, never mentioned, linked, neither perceived as linked to any kind of episode of violence. The pacifist singer adored Lennon and Marley so much that he dreamed to name “John” and “Bob” his sons if he ever had two – a dream later made true.

As Diko recently explained, that frame belonged to a day when he and friends *actually* cleaned the seashore up to 6 meters depth from 12 guns (27.al, 2017). That explanation is against all the narrative based on a heuristic processing model, in which mass media exposure skew already available mental models – the perception of increased violence in 1997 in Albania – to direct the public opinion towards what was supposed to be a rational interpretation of the image and its

contextual representation. The supposed action of the subject in the picture was a misconception: Diko was putting weapons out of the water, not bringing an automatic gun into the sea and shooting up in the air for the fun of it.



Picture: Dashnor Diko, an Albanian singer, cleaning the seashore from light weapons in 1997(Courtesy:27.al)

Twenty years hence, there is still something comic in the fact that unregistered light or military weapons, collected during a voluntary surrender of firearms initiated by the Albanian Ministry of Interior in 2017, have included among others anti-tank mines and anti-aircraft missiles, held in a domestic environment for two decades (ASP 2017). And that visual frame serves as a reminder of a time of anarchy when it was possible to escape the collective madness following state collapse and the massive opening of weapon depots, to escape the spread of light or heavy weapons among civilians, and the shooting – up in the air for the fun of it or for a criminal purpose. It also reminds that a picture may be worth a thousand words, but media visual narrative of a context may misrepresent the truth, by transforming a good action for public safety into a dramatic misconception at worst, or ridiculous act at best.

There is also something tragic in the arming of civilians in Albania during the last two decades. It is reminded by the sons and daughters who survived the death of their dearest by intentional or accidental homicide, as the case in the southern Vlora, where a father working at the local government was shot during 1997 anarchy; in the northern Shkodra, when a mother drinking coffee in her home garden was hit by a blind bullet; or in central Tirana, where a teenager son was shot in a gang crossfire, while holding the line at the bread store, just a few days after celebrating Teacher's Day in Petro Nini High School. Testimonies and legacy still persist among the living, not just among press materials or official reports, where the true dimension of dramatic events is confirmed by statistics.

The 1,542 lives lost during 1997 only, stand as a reminder of a time of anarchy when the uncontrolled possession of weapons caused victims more than the previous six years period 1991-1996, and almost as much as the four years to come 1998-2001 (Mol 2016, January). In the Republic of Albania, during the period 1997-2017, about 10,000 citizens have died or were seriously injured due to weapons (Mol 2016, November). Along the two following decades, the year 2015 marked the fewest number of homicides since 1997, with 54 annual cases – a record actually broken in 2018 with only 51 cases of the criminal offense (ASP 2019, February). For the three-year period of 2014-2016, statistics have shown a decline in the total number of intentional homicides. Referring to the graphics in the Annual Performance Report 2015 of the Albanian State Police and Ministry of Interior (Mol 2016, January), by comparing criminal indicators of the previous three years 2011-2013, gun theft have dropped by over 170%, from 287 to 106, and recorded cases of illegal weapons possession have increased by 29.3%. During 2016 alone, 85.8% of illicit weapons possessions have been detected, for which an average of 3 people per day has been arrested. Notwithstanding, prison sentences and statistics are not enough without preventing the risks posed by small arms and light weapons.

In the Criminal Code (Law No.7895/1995), the Albanian legislation clearly defines several offenses related to the illicit use of firearms.¹ Some legal changes have been made in the fight against illicit firearms possession, use, and trafficking. From August 26, 2016, the illicit weapons possession Act came into force (Law No.82/2016, Article 2), approved with the latest amendments to the Criminal Code and its Article 278 which set out tighter measures in this context.² Improved public order indicators and crime prevention were affected by **three amnesties** of the criminal offense *Illegal Possession of Weapons*, which managed to collect about half of the undeclared weapons stolen from state depots in 1997 – despite the fact that some were illegally trafficked out of Albania in the years 1997-1998 or have actually run out of use.³

Statistics on weapons collected in Albania during the two first amnesties (from 1997–June 2005)

	Ammunitions	Explosives	Weapons
Looted in 1997	839,310,038	16,000,000	549,775
Collected: March 1997 – June 2005	118,134,222	1,539,828	222,918 or 40.54%

Source: MOI weapons collection unit, in Safeworld and CPDE (2015:114), and in Council of Ministers Decision No.50, dated February 6, 2019 “*On the Approval of the Small Arms, Light Weapons, Ammunition and Explosives Control 2019-2024 and the Action Plan 2019-2021*” (2019:321).

¹ Among them, sexual or homosexual assault under gun threat (Article 104), armed robbery (Article 140), rioting (Article 221), call to arms or to take the command unlawfully (Article 222), acts of terror (Article 230), manufacture of military weapons (Article 234), armed gang (Article 234/b), organization of unlawful gatherings and manifestations with the participation of armed people (Article 263), disturbing public peace (Article 274), manufacture and illegal possession of firearms and ammunition (Article 278), trafficking of weapons and ammunition (Article 278/a), illegal manufacture and illegal possession of hunting and sporting rifles (Article 280), training on unlawful manufacturing and use of weapons or other dangerous substances (Article 282/b), criminal acts committed by an armed gang or criminal organization (Articles 333-335).

² Respectively: Unauthorized possession of weapons, ammunition, and explosive substances in motor vehicles and public spaces is sentenced to 3-7 years in jail. Unauthorized use of military munitions as a criminal offense is punishable by a fine or up to 2 years. Unauthorized possession of weapons in the domestic environment is sentenced to 1-3 years. The detention of explosive weapons/materials in the domestic environment is sentenced to 1-4 years. Also, the production, purchase, sale, trading, and transportation of weapons, ammunition, explosives, and explosive weapons without proper permission, is sentenced to 5-10 years: a penalty up to 7-15 years when the criminal offense is committed in large quantities, in collaboration, more than once or with serious consequences. Last but not the least, counterfeiting, erasure, relocation or alteration of marks on weapons and ammunition, is punishable by 1-5 years of imprisonment.

³ The first amnesty (August 1998 – August 4, 2002) was based on **Law No.8388, dated August 5, 1998 “On the Collection of Weapons and Military Ammunition”**. It was drafted by the Albanian Government that came out from the June 1997 elections and established the principles and methods for voluntary surrender of weapons, registration for a businessmen category, compulsory collection by police forces. A weapons collection facility was established with 250 police officers who, upon completion of the amnesty, were deployed and engaged in other police tasks. One million houses were visited, asking people to voluntarily surrender their weapons and ammunition, or sign a declaration of not possessing an illegal gun. The implementation of the second amnesty (April 10, 2003 – May 31, 2005) was based on **Law No.9018, dated March 6, 2003 “On the collection of weapons, ammunition, and other combat equipment”**, while the addition of the amnesty article was specified in Law No.9017. It was accompanied by awareness-raising methods in schools, logistical support from UNDP, various investments in institutions or development projects etc. For the next 11 years, from 31st May 2005 until December 2016, there was no amnesty for weapons collection. In the third amnesty (January 14 - April 30, 2017), pursuant to **Law No.141, dated December 22, 2016 “On Amnesty” and the Ministry of Interior (Mol) initiative #AlbaniaWithoutWeapons**, Community Policing Workers (SPZ) went door-to-door to inform and raise awareness on the handover of illegal weapons, controlling the territory on a chart-basis drawn up by local police, cooperating with local government units, educational, religious, civil society, and keeping a constant relation between Police and media on the results.

As shown in a report on small arms and security in South-Eastern Europe by Safeworld and the Center for Peace and Disarmament Education (2015:114), Mol Weapons Collection Unit states that during the first two amnesties, from 1997 up to June 2005, 40.5% of weapons looted from military bases have been returned. Last but not the least, over half million ammunitions, were collected during a third amnesty implemented between January and April 2017, with precisely 603 different firearms, 1,558 hand grenades and 580,634 various ammunition surrendered nationwide (CMD 2019:321).

Meanwhile, the legal framework of the Republic of Albania also defines the criteria to be met for a firearms license. Adopting their provisions with the EU directives, with the support of missions assisting the Albanian State Police such as ICITAP, PAMECA and the Albanian Helsinki Committee, **Law No.74/2014 "On Arms"** (Official Gazette No.126: 5775-5787) does not liberalize the right to keep and bear arms in Albania – as does the 2nd Amendment in the United States for example – but sanctions instead the firearms ownership right.¹ **Law No.72/2014 "On the Use of Firearms"** (Official Gazette No.124: 5728-5729) – partially aligned with Council Directive 91/477 / EEC of 18 June 1991 "On the control of arms purchases and possession" of the Council of the European Union (Official Journal of the European Union L256: 51-58) – is compulsory for the employees of the Albanian State Police, for the Armed Forces of the Republic of Albania (when used for providing public order only in cases when police forces are unable to perform it), as well as for other subjects that are equipped with firearms on the basis of a special law.²

Despite the criteria set out in the legal framework for the license to arms possession and use, the Ministry of Interior considered necessary to undertake an initiative, named #AlbaniaWithoutWeapons, concretized in one short-term amnesty for voluntary surrender and collection of illegal weapons from the hands of civilians. Briefly introduced in November 2016 through a similar UN campaign launched and implemented by Mol, named "Don't shoot but love" (SEESAC 2016), the amnesty bill passed all legal steps: from its drafting in the meeting of the Council of Ministers, to the invitation for public consultation on Mol official website, the review in the National Security Commission, the voting in the Assembly, the declaration of **Law 141/2016 "On Amnesty"** (Official Gazette 2016 No.255: 25513-25515) and its entry into force fifteen days later. Article No.7 corresponds to the legal foundation for the third amnesty to firearms possession from 14th January to 30th April 2017, after which punishment for the criminal offense is to 15 years.

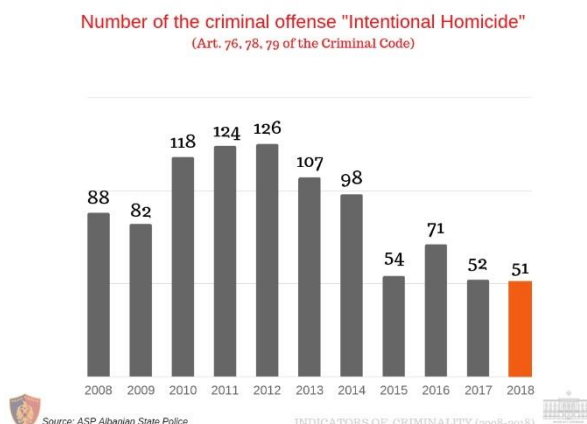
Illicit weapons possession has been treated differently by main political parties. All the three amnesties for the criminal offense, aiming at the voluntary surrender and collection of firearms (the first on August 1998 – August 2002, the second on April 2003 – May 2005, the third on 14th January – 30th April 2017), have actually been drafted, adopted and implemented by the Albanian Left or the Socialist Party. Regarding the Right, as publicly confessed to a journalist and former-PDK MP in Kosovo, the former President of the Republic and historic DP leader Sali Berisha states that him and his Democratic Party opened weapon depots in Middle and Northern Albania, "aiming to balance the already armed opponents and its supporters, as well as arming the Kosovo Liberation Army" (Buzhala 2017). Statements by the Right Democratic Party that suggested a purchase of illicit firearms voluntarily handed, may have consequently contributed in a public hope for potential profit and hesitation for such surrender. It must be noted that in this regard, also the Socialist MP of Shkodra Region, Paulin Sterkaj, suggested twice the remuneration of donated laptops – never cash – in exchange of handed arms (Panorama

¹ Law No.74/2014 "On Arms" tightens criteria of owning a firearm, such as the minimum age of 22 years; evidence of psycho-physical health; drug testing; police and criminal records in the exercise of violent resistance to the police, blood feuds or domestic violence; payment of state and public administration's tax obligations; reliability; proof of theoretical-practical ability to recognize and use the weapon (authorization from Licensed State Police courses); prohibition, also for ASP, of military weapons for civil use – removing therefore Kalashnikov and TT pistol from circulation; shooting and administration of experimental cartridges by the State Police and its lab. The law definitely undermines the firearms ownership rights *ex officio* automatically and without any criterion, as permitted by the previous law to judges, MPs, and mayors. The law also defines the power prevalence for the use of weapons by State Police.

² Law No.72/2014 "On the Use of Firearms" also tightens criteria of firearms use. Unlike the previous law, criterion define the objective degree of danger and firearm counterattack against the police forces, according to the principle of *necessity and proportionality* (the weapon will be used as the ultimate tool, in extremis, against anyone – including minors, women and the elderly – when all other means for the prevention or prohibition of illegal assault have been exhausted and when facing a high risk to the life of the police officer or any other citizen; the weapons' use as a means of warning or dissemination of protests is definitively prohibited; it is forbidden to kill animals with weapons – except when by any other veterinary means it becomes impossible to ban an animal posing a risk to the life of the citizen). Types of weapons for which permission is granted include: Sports Weapons (for easy or targeted sports shooting), Hunting Guns (for passion or need, according to the law), Collection Weapons (fully or partially disabled), Pistols (*ex officio*, for prosecutors investigating serious crimes, criminal organization, organized crime, terrorism, narcotics, trafficking in human beings, domestic crime, and murder of police officers – as defined in the DCM by Berisha government following the killing of the Head of Shijak Police Station 2011-2012).

2013, Java News 2017). In the political discourse, episodic call to arms, actually a criminal offense to Article 222 of the Criminal Code, have been also publicly made by the Albanian Right (Balkanweb 2016, Tema 2018).

According to the Albanian Institute of Statistics INSTAT, there were 1.8 homicides per 100 thousand inhabitants in Albania in 2015. The indicator was 2.5 times higher than the EU average the same year (0.7 homicides per 100 thousand inhabitants, according to EUROSTAT). Although a small country of 2,870,324 people, Albanian official estimates were twice as many as the EU countries. The last decade marked a decreasing trend until 2018 marked the lowest record, with 51 intentional homicides, as defined by Articles 76, 78, 79 of the Albanian Criminal Code (ASP official statistics).



Attention on this issue is still paid by the Albanian government, in the framework of the adoption of the Regional Roadmap for a sustainable solution to the illegal possession, misuse, and trafficking of Small Arms and Light Weapons and their ammunition in the Western Balkans by 2024, part of the Berlin process. The proliferation restriction of Small Arms and Light Weapons (SALW) is confirmed to be part of civilian disarmament policies, promoted through regular campaigns by the United Nations and European Union projects (such as UNDP SEESAC for South Eastern Europe, and PAMECA). In the European Union where Albania aims to integrate, the right to life is defined by the European Convention of Human Rights (ECHR 2018: Article 2). In special regards to prevention, in 2017 Ministry of Interior developed "Albania Without Weapons" campaign, managed on social media, covered by new and traditional media.

4. #AlbaniaWithoutWeapons campaign of Mol and PAMECA (2017)

The awareness campaign for voluntary surrender of weapons and ammunition was supported through *Community Policing*, a new theoretical concept in the Albanian Ministry of Internal Affairs (Mol) aiming at law enforcement approval, not by force but in close cooperation between Police officers and the community they serve. To that date, the partnership with the public and this quality assurance service had been introduced by the "Digital Commissariat App", the mega-event "You Are My Hero" at the Pediatric Hospital on 1st June 2016, the Fair "Open Day with Police" on 7-8th June 2016 or 14th March 2017, or the business card field distributing of the unique Emergency Number "112" on late June – mid July 2016.

From a PR expertise point of view, the following suggestions were given and applied (Rovina 2017). The **situation analysis** and media fact-checking confirmed that intentional or accidental homicides and firearm-related death rate *are* news and *make* news, in focus of public attention. The raising awareness up to 30th April 2017 and the increased long-term credibility were defined as **purpose/objectives** of the PR Plan. As **strategy** (approach and effort focus) was suggested the advocacy through a creative campaign, that would *inform* on the legal initiative and amendments, as well as on potential incidents from weapons possession in the domestic environment; that would *raise awareness and convince* the public for the lawful and right thing to do; and would also *promote* the Ministry, State Police and international partners. The promotion element was in focus this time, since, in the first similar campaign (Mos gjuaj por duaj 2016), the specific Facebook and Instagram

pages missed to remind Mol as initiator or UNDP SEESAC as supporter, as well as to interact with followers – few people commented and there was no *Crisis Management* of haters or skeptic vox pops.¹

On this ground were defined the **tactics**, or how the strategy would have been implemented. For the initiative #AlbaniaWithoutWeapons realized by the Ministry of Interior and supported by the EU program PAMECA from 29th March to 30th April 2017, the PR expert at Mol Communication Directorate provided creative elements of the campaign such as: *Advertising Copy* or text for the leaflet and the VIP spot script; psychological negotiation for a real-life testimony of a firearm incident; *photo essay* from the backstage of the spot based on the true story, later used for Timeline Photos; a *Content Strategy* and *Crisis Management* for the specific Facebook page (Shqiperia Pa Arme 2017); native-ad article, etc. The *Content Management* signed an innovation in the relationship with the public: each of the FB comments and public suggestions had feedback. Legal references explained simply and the *tag* for local police stations was opted to inform but also promote the relationship between the State Police and the community. Also, tagging institutions such as Mol, ASP, EU Delegation in Tirana or PAMECA, the press agencies and newspapers that covered the initiative, or the VIPs who agreed to become part of a spot, aimed at promoting the initiative itself to the followers of the above, increasing visibility. Different tactics aimed to reach different publics: hard copy leaflets for local community inhabitants; two professional spots on Mol official channel on YouTube and content management on a specific Facebook page for online communities in Albania and abroad; *native-ad* for Albanian-speaking press and online media.² Preliminary information to Mol and PAMECA was provided through a scrupulous fact-checking of media articles, police statistics and subsequently comparative elaboration, the legal framework through years and political implications in the process of spreading and collecting weapons since 1997.

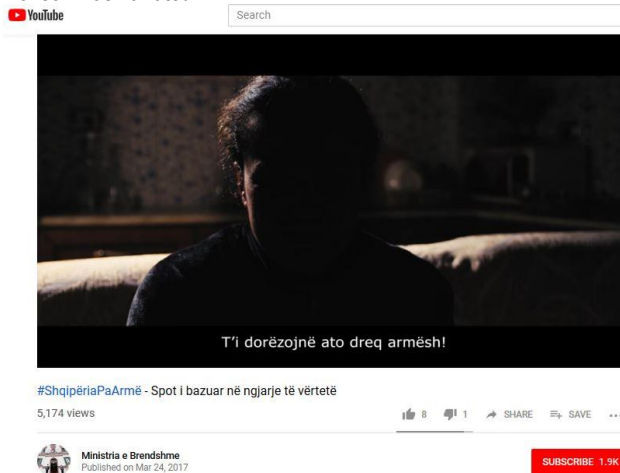
Identifying – and successfully dealing with – public **resistance** to the given message, as defined by Festinger (1962) has been part of the PR work for this campaign. One counterargument noticed in Facebook comments, for example, was the risk posed by the supposed “Army surrender”: this misunderstanding was quietly but firmly clarified since the focus of the campaign was disarming civilians, not soldiers of the Army. Another counterargument was the rationalized need of weapons for hunting in remote areas or for self-defense: this was also simply but sufficiently clarified as the law permits licensed gun possession but under more severe criteria. A further skepticism by militant or politically independent public was the risks of dealing with state propaganda, as persuasive narratives are often discounted as manipulative and unethical according to Dahlstrom and Ho (2012): this was also overcome by an ethical communication and a management of the specific Facebook Page by the campaign's name, instead of “Ministry of Interior”. To Drozd, Lehto, and Oinas-Kukkonen (2012: 165) motivation and engagement through dialogue support, feedback, and counseling by credible communicators is confirmed as crucial to gaining the desired behavioral change. In this case, while it was made clear that the campaign's official FB profile was managed by the institutional representative, by interacting with a country (“Albania Without Weapons”) rather than a political party affiliated “Ministry”, provided higher positive mental response, fewer chances to cognitive dissonance – and to dealing with them through political biasing. At this first level, new information was provided, with the amnesty deadline and local police stations to be contacted for the voluntary weapons surrender. This was the law and the lawful thing to do.

At the next level, **storytelling** at social media was considered the antidote to this resistance. Its persuasive power aimed to reach the audience by identifying, transporting it into the narrative engagement, with the purpose of dispelling misconceptions, and integrating new information in a sound manner from a psychological cognitive behavior perspective,

¹ Earlier, a first awareness campaign on the risks of illegal possession and misuse of firearms in Albania was “#MosGjuajPorDuaj or “Don't Shoot But Love” implemented from 14th November – 14th December 2016, financed by the European Union in the framework of the Common Foreign and Security Policy, with the support of the United Nations Development Program (UNDP) and the Central and Eastern European Office for Small Arms and Light Weapons (SEESAC), implemented by the Ministry of Internal Affairs in cooperation with the MANIACARD Freecard Advertising Media Agency. In 2010, MANIACARD was awarded ‘Cannes Act Tribute’ Prize at Cannes Film Festival, as favorite free card campaign with the postcard “Stop construction at the expense of nature”. During #dontshootbutlove campaign, their tactics in public spaces included Guerrilla Marketing (a worldwide strategy initially conceived in 1984, focused on unconventional low budget tactics that bring maximum results) and the use of leaflets, posters, social media etc. As to the Facebook Community Page, among others it published 3 live-streams of the event presentation, 1 professional spot, 1 amateur recording of VIP testimonials, 1 GIF presentation, photos from the Minister's meeting at local level, shared albums from the Minister's meetings with high school students in front of a staged crime scene, media articles on firearm crimes and Police calls to voluntary surrender them.

² Actually published online on *Balkanweb*, *Gazeta Express*, *Ora News*, *Lexo.al*, *Shqiptarja.com*, *Gazeta Blic*, *Arbresh.info*, *Java News*, and print on *Shqiptarja.com*).

as suggested by Meisel and Karlawish (2011). Visual and narratives were involved as support materials. Since real stories on screen have resulted more persuading than fiction on the very same information (Kimmerle and Cress 2013), the power of narrative persuasion was invested in the testimony of a woman, appearing at the end of the spot where the story her husband and minor son was narrated.

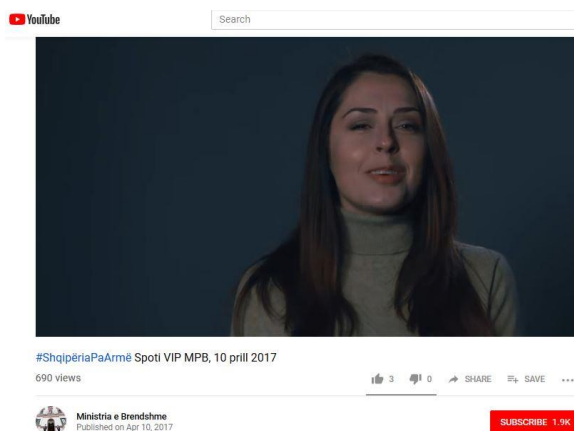


Picture: Frame from the spot based on a true story, with a final real-life testimony for #AlbaniaWithoutWeapons. ©2017 Ministry of Interior, with the support of PAMECA (EU program). Marketing agency: Connxt. Production: Nilor. (Source: Mol Official YouTube Channel)

Actors in the first spot staged a real story occurred in Vlosh village, Fier, on 1st July 2016, when a farmer was accidentally shot to death by his 8-years old boy. The narrative integrated the new information (on the amnesty initiative and its deadline) with the social bond of identification. As suggested by Feiereisen, Wong, and Broderick (2013), visual mental simulations and verbal analogies into a familiar framework help the ones missing the proper mental framework to better understand the benefits of the behavioral change. The spot, based on a true story, aired on YouTube on 24th March 2017 and reached 5,174 views. The woman's final genuine call reminded that the story is real, that what happens to someone can happen to everyone, and that the public policy of voluntary firearms surrender is not only legal but also legitimate and the right thing to do.

By respecting an ethical communication, Mol had previously asked her and the family of the deceased written permission for granting the right to use in a spot their personal history – although previously published by national media. Then the Mol PR expert negotiated and convinced the initially hesitant widow to give her own testimony, respecting the privacy. The anonymity of the final real-life testimony was granted through proper techniques, such as darkening the image for face recognition or avoiding real names or locations in the subtitles. By recognizing underlined cognitive processes, the successfully established relation and the created dialogue was with the real witness first, and the online Facebook audience later.

A Ministry's cause or governmental policy of public *interest* becomes *interesting* when supported and promoted by a charismatic Minister. This also constitutes the risk of incarnating that cause with the Minister himself, and of limiting the media attention strictly to the period in which that Minister holds the office although the campaign promoting that cause has just begun or isn't over yet. Unfortunately, the spot based on the true story was first published on the Facebook account of former Minister of Internal Affairs and only subsequently on the official FB Page or website of the Ministry, hence the main media narrative considered it more like part of a personal initiative of Mr. Tahiri rather than of the Ministry itself. Once the Minister left the office on 11th March 2017, this campaign promotion on official Mol channels, as well as its media coverage, decreased markedly.



Picture: VIP version of the spot for the awareness campaign #AlbaniaWithoutWeapons and frame for the video. ©2017 Ministry of Interior, with the support of PAMECA (EU program). Marketing agency: Connex. Production: Nilor. (Source: Mol Official YouTube Channel)

The second spot featuring VIPs aired through social media and YouTube on 10th April 2017 and reached only 690 views. Political events and the transitory phase at the Ministry of Interior also made impossible its introduction or launch on TV through a guest appearance on morning shows or prime-time debates, as well as its promotion in Anglophone media for further advocacy.

The initiative of illicit firearms collection was set among 2017 top priorities for Mol and State Police by the then-Minister of Interior Tahiri, whose all-inclusive approach for public awareness met also school and religious communities.¹ The same priority was confirmed by the following Minister, Fatmir Xhafaj. The third amnesty in this regard resulted in the collection of 1,341 firearms, 439,415 cartridges, 1,138 cartridge-clips, 1,377 offensive and defensive grenades, 1,038 firefighters, 1,057 detonators, 74 artillery and anti-tank shells, 45 TNT blocks, 11 mines, 2 anti-aircraft missiles, 1 flamethrower, and 1 box of poisonous substances (ASP 2017, April). On 18th April 2017, the Albanian Parliamentary Commission of National Security approved the 8-month extension of the amnesty deadline up to 31 December, as proposed by the Secretary of the Commission and Socialist MP, Pirro Lutaj. Unfortunately, the approved draft-bill was never to be adopted during the VIII legislation, which ended with the last plenary session on 4th May amid tensions and boycott by the opposition. Two weeks later, on 18th May an agreement for a technical government was reached between Premier Rama and the DP leader Basha, followed by the preparations for parliamentary elections of 18th June. #AlbaniaWithoutWeapons was no longer in the agenda-setting that year.

5. Gun possession and the clashing narratives of mass media

Gerbner's *Cultivation theory* recalls the effects that behavioral communication has on judgment, beliefs, and attitudes of the public opinion. Grunig's systemic approach of Public Relations actually applied during the crisis management of the social media campaign #AlbaniaWithoutWeapons, covered a public security policy on this cultivation basis, aiming to inform, convince and promote what was legal and right.

Differently from the messages sent by the Ministry of Interior, to the same Albanian public opinion, almost at the same time, the same topic – on illicit weapons possession and use – was covered differently by a different content strategy applied by mainstream media. The narrative on some Albanian Rap bands is the typical case worthy of particular mention. Hard and soft drugs apart, weapons have been a subject explicitly promoted in the narrative related to the lifestyle or work of some Albanian rap singers. The proper strategy matched to automatic guns as supposed "hedonistic objects" has been their

¹ Mol (2017) "Komunitetet fetare kanë rol themelor në çarmatosjen e mendjes dhe të shpirtit", awareness meeting in Dajç, Shkodër, February 6, 2017, published at the official Mol website. Mol (2017) "Të ndihmohmë këdo që angazhohet dhe ka vullnet për të refuzuar dhunën e armët", awareness meeting in Pjetër Budi High School, Burrel, Dibër, February 7, 2017, mb.gov.al.

visual mental simulation – while, as noted by Feieriesien, Wong, and Broderick (2013), verbal analogies better match to “utilitarian objects”.

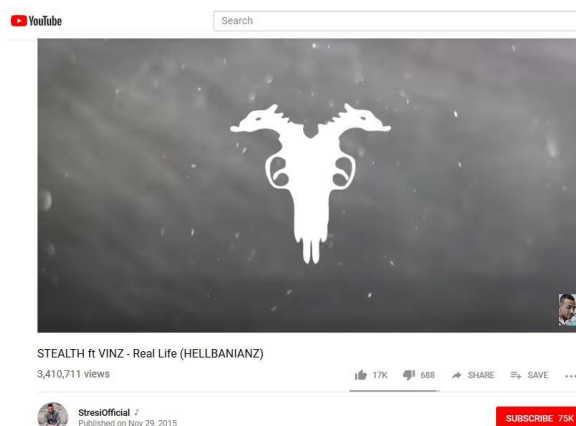
In the Albanian music industry, communicating a weapon on the screen has never been a struggle. First, during Communism, the gun has been associated with the anti-Fascist and anti-Nazis’ resistance in times of war, proudly represented in movies, novels or songs. Later on, from 1997, the gun has been perceived as a symbol of the anti-State anarchy in times of peace, widely reported on national or international news. In the case of explicit content, the Albanian Broadcasting Code suggests the proper warning and time schedule in audiovisual media. This cultural environment and social brain may help to put the weapon media narrative in the proper context.



Picture: Arkimede Lushaj a.k.a Stresi, Albanian Rapper (Courtesy: Lajmi.net 2016)

Narratives on Rap singer known as “Stresi”, can be the right case to be considered. During 2010-2017, media storytelling mainly focuses on his criminal records. It starts with his unpaid fines in Belgium and a conviction for extortion or blackmail against the founder of a private art school in Tirana; passing through public intoxication, illegal possession of weapons and disobedience to the police order during a Halloween night in the Albanian capital; his posting on social media a Christmas tree made of Cannabis; his escape jumping from the 2nd floor of the Police Department and his following posts on social media against “dictators” and a possible asylum seeking; his photos on Instagram posing with guns, drugs and girls; up to his public reaction against the Minister of Interior who called artists for action against the promotion of violence on music videos, “as long the law permitted such freedom of expression” Stresi noted. Hence, the media storytelling on Stresi focuses on his personal character as loved by parents, wife, mother-in-law, other rappers, and even youth – as shown in episodic banners in the 2019 students’ protests in Tirana.

Stresi is no isolated case. He has published a national symbol of the eagle transformed into a double-headed Cannabis plant, also into two pistols. In the last case, the symbol belonged to a Rap band London-based of Albanian nationals, named *Hellbanians*, promoted on Stresi’s Official YouTube channel. Collaboration between Stresi and *Hellbanians* resulted also in a song entitled “GTA”. Joking through the wordplay of the acronym for “Grand Theft Auto”, the famous action-adventure video game series released in 1997, the refrain also called for “Gati tana armët” or literally All Guns Ready. *Hellbanians*, founded by Vinz, are actually known to the British media narrative as an important gang of Albanian nationals involved from UK’s premier sex traffickers to kingpin cocaine dealers, reaching 115,000 followers on Instagram and 13,000 on Facebook until their pages were taken down on November 2018 for showing off drugs, money stacks, and guns (Argonathrpg 2017; The Sun 2017; Express 2018; The Guardian 2019; The Sun 2019).



Picture: The premiere of Hellbanianz's "Real Life" explicit lyrics video, as posted on StresiOfficial YouTube Channel, on Albanian National Liberation Day, 29th November 2015, with over 3.4 million views

In violation to the Albanian "Broadcasting Code for Audiovisual Media" (AMA 2017), the content of such songs and similar official videos on music channels incite hatred, intolerance, discrimination or justify violence among citizens; they contain elements of extreme violence; their broadcasting do not respect the time limit schedule 22:00 – 06:00 to prevent the mental or moral development of children from watching or listening; and as inappropriate content which can harm children they are broadcasted without being preceded by an acoustic warning or identified by the presence of a visual symbol throughout their duration. In such a context, their broadcasting on TV networks or YouTube in general, as well as the intensive interviews and TV guest schedules of singer Stresi in particular, easily reach the overall public, building so a benevolent narrative towards Rappers of Albanian nationality with criminal recordings in Albania or Europe, as role models to be followed – or to be perceived as acceptable, promoting the illicit as the right thing to do. On weapons, this narrative obviously clashes with the one by the Ministry of Interior. Does arguing change perception anyway?

6. PR implications in the incongruity between crime indicators and public perception

Barney's limits to persuasion should take into consideration that the public isn't always rational. Back in the late 2010s, the once acclamation "Facts are sacred" made by The Guardian's editor C.P.Scott, takes a whole different meaning in the fake-news era, where facts are spread in an unethical order, resulting in manipulation rather than information management, compromising truth itself.

And the simple truth just does not constitute a sufficiently convincing argument. In 2015 for example, the White House has reported that U.S. President Obama was seeking advice from social scientists such as psychologists to combat global warming: an executive order was issued instructing federal agencies to use behavioral science when developing programs to address rising temperatures and other policies, and a Social and Behavioral Sciences Team of psychologists, sociologists, and behavioral economist tested methods that might get people to act differently, since not all people are rational (Scientific American 2015). Another recent poll has shown that only 18% of Republicans would support President Trump's impeachment if evidence of his collusion with Russia to win 2016 presidential election would be provided, while 63% wouldn't care (YouGov & the Economist 2019). Thus, evidence and reason *per se* are not convincing arguments for making decisions.

On one side, crime shapes the public's sense of the state of their nation, and therefore of its future. If the national optimism gap was to be the *dependent variable*, the *independent* variable that helps explain it, without doubt, is crime and its public perception. Albania and the U.S. are two cases worthy of mention.

Referring to Gallup World Poll "Desire to emigrate", for the 2013-2016 period Albania ranked 3rd worldwide in terms of its citizens' highest desire to emigrate, after Sierra Leone with the Ebola outbreak and Haiti, followed by two other African states in conflict such as Liberia and Congo, and Syria ranked at the 9th position: 56% of Albanians declared themselves as potential migrants, a percentage more than doubled compared to 36% in the previous poll edition conducted in 2010-

2012 (Esipova, Ray and Pugliese 2017). As official Albanian sources pointed out that the year 2016 actually marked a decrease in the number of emigrants leaving the country from 41,000 in 2015 to 33,000 in 2016, and that economic reasons were the main *impetus* of emigration since the biggest groups of Albanian communities living abroad actually consist of economic emigrants, family members of economic migrants and students (Albanian Ministry of Interior 2017:5), Gallup also identified the wish to escape chronic high unemployment rates in Albania – just like in Italy – as the main reason why citizens wish to leave their country. The perceived economic push factor for migration was confirmed.

However, in matters of perceived security, according to Gallup's Report *Law and Order Index Worldwide 2016*, Albania ranked with a 79 index score, preceding Greece with 78, Macedonia 75 and Bulgaria 72 (Gallup August 2017: 6-7). A year later, *Law and Order Index Worldwide 2017* ranked Albania with a lower perceived security index of 78, or the last in the Western Balkans, preceded by Serbia 82, Bosnia and Herzegovina 80 and Montenegro 79 – nevertheless performing a higher perceived public security than Bulgaria with 77 and Greece with 74 index score (GALLUP June 2018:7). As Gallup *Law and Global Order Index* provide leaders with an update on the progress made towards achieving the UN Sustainable Development Goals "Promoting Fair, Peaceful and Inclusive Societies", it also highlights those countries who need immediate change in security terms, where Albania is included.

Pessimism cases linked to the public perception of law and order are spread worldwide, in developing countries as well as in a democratic superpower. A few months before the robbery of Albanian army depots, in the United States on January 1997 a special Pew Research Center survey, conducted in conjunction with "State of the Union", revealed that three national problems in the U.S. such as crime (61%), drugs (64%) and low moral and ethical standards (62%) were increasing in severity relate to moral and social decline according to over 60% of survey respondents; half believed there was a deteriorating quality of public schools (52%), while in regards to political reforms 49% had the perception that America was losing ground in its efforts to fight political corruption:

«...Perceptions of a nation overwhelmed by moral and social problems are strongly linked to pessimism about the country's future. By a margin of 74% to 54%, pessimists are more likely than optimists to believe that crime is becoming a worse problem nationally. Crime is the one concern found to be driving pessimism among all major political subgroups, including those who voted for Clinton, those who voted for other presidential candidates, and those who decided not to vote at all...». (Pew Research Center for the People & The Press, 1997).

On the other side, subjective perceptions of crime may not relate to the objective progression of criminality indicators. As noted by Pew Research (2019), for the 1993-2015 period the growing percentage of public perception's crime rate, or people saying there is more crime in the U.S. than a year ago, as reported by Gallup, was at odds with reality and the actually decreasing violent crimes per 1,000 persons age 12 and older, as shown by Justice Bureau of Statistics. The media narrative on crime, and PR implications in crisis management, in my opinion fill that gap between perception and reality.

7. Conclusions and recommendations

First, the shift from individual to collective or corporate identity affects governmental public relations. In my view, Kotler's instruments of Public Relations known with the acronym of PENCILS (*Publication – Events – News – Community – Identity – Lobbying – Social responsibility*) may be used by every community, company, institution or enterprise, regardless of the fact that the product they are "selling" is national news, a political party, a private education, a mobile phone, a croissant, oil fuel for cars, clothes for humans, food for pets, a football game, or a religion. In this regard, I do consider State Police and the Ministry of Interior as public institutions which may and should apply these instruments ethically, through truth, honesty, integrity, professionalism, respect, dedication and transparency as in corporate communication. I strongly believe that the return of the individual to a position of accountability improves the quality of the public dialogue, as the collective identity emphasizes the group and devalues the individual. There is no unique homogeneous public opinion; there are different influencing publics. Nevertheless, public relations or PR must be opened to hear and offer a space for relating with individuals that are not easily labeled *a priori* as supporters or opponent to an issue, but may instead represent a champion of the real population involved in a free public exchange of ideas.

Second, public order and security can never be an exclusive duty of State Police alone, but a joint attempt for common goals. The institutional identity of the Police or the Ministry of Interior itself is constituted by their purpose (why they exist), their brand (how they are perceived by others) and their culture (how members interact and work within them). Notwithstanding, popular culture and mass media play an important role in effective institutional public communication. Rather than merely reporting reality, Media (both traditional such as the television, or the new media such as website

profiles of newspapers, blogs, and social media profiles) constitute a resource for information, persuasion, and entertainment, encouraging unlawful acts and behaviors through the unethical promotion of particular actors. The challenge is to prevent, identify and manage incompatible or opposite messages promoted in the content managed by governmental and media authorities of a country, on the same topic, to the same audience, at the same time.

By analyzing the behavioral communication and reflecting on how media exposures skew already available mental models to affect judgments, beliefs, and attitudes, I provided a more complete framework on events occurred almost contemporarily, aiming to contribute to narrative-based persuasion strategies applied by governmental institutions in Albania in the future. Assuming that Gerbner's Cultivation Theory may be partially applied to explain particular political and social realities, an appropriate model for future solutions may be found in Grunig's systemic approach of Public Relation and its application on PR in public policies and during crisis management.

In this paper I attempted to construct the media narratives related to light weapons control in the Republic of Albania in 2017, and to deconstruct the two incompatible narrative-based strategies in this regard, respectively one supporting the Ministry of Interior's campaign (named "Shqipëria Pa Armë / Albania Without Weapons", in collaboration with PAMECA, managed in social media and covered by new and tradition media) – and another promoting law violation and gun possession through mass media coverage and advocacy of specific actions and actors from the show business and their deliberate messages in audiovisual commercial products.

In conclusion, media and cultural studies applied to a public campaign managed on social media by the Albanian Ministry of Interior, demonstrate the need to harmonize the production or diffusion of public narratives and content on specific topics of interest in matters of public order and security strategies.

References

- [1] Bernays, E. L. (1928) *Propaganda*. New York: Routledge.
- [2] Bernays, E. L. (1923) *Crystallizing Public Opinion*. New York: Liveright.
- [3] Bernays, E. L. (1947) "The Engineering of Consent", in *The Annals of the American Academy of Political and Social Science*, 250(1), 113–120.
- [4] Barneys E. (1977) "Down With Image, Up With Reality", in *Public Relations Quarterly*, 22(1), 12–14.
- [5] Barnum, P.T. (1855) *The Life of P. T. Barnum written by himself*. New York: Redfield.
- [6] Chartered Institute of Public Relations (1963) "Code of Conduct", London.
- [7] Cohen, B.C. (1963) *The Press and Foreign Policy*. Institute of Governmental Studies, University of California.
- [8] Cohn, R. (2007) *The PR Crisis Bible. How to take charge of the media when all hell breaks loose*. Lexington: BookSurge Publishing.
- [9] Dahlstrom, M. and Ho, Sh. (2012) "Ethical Considerations of Using Narrative to Communicate Science", in *Science Communication* 34, 592-617.
- [10] Drozd F., Lehto T., Oinas-Kukkonen H. (2012) "Exploring Perceived Persuasiveness of a Behavior Change Support System: A Structural Model", in Bang M., Ragnemalm E.L. (eds) *Persuasive Technology. Design for Health and Safety*. PERSUASIVE 2012. Lecture Notes in Computer Science LNCS Vol.7284, 157-168. Berlin, Heidelberg: Springer.
- [11] Fearn-Banks, K. (2007) *Crisis Communication. A casebook approach*. 3rd ed. New York: Routledge.
- [12] Feiereisen, S., Wong, V. & Broderick, A.J. (2013) "Is a picture always worth a thousand words? The impact of presentation formats in consumers' early evaluations of really new products (RNP)", in *Journal of Product Innovation Management*, 30(S1), 159-173.
- [13] Festinger, L. (1962) "Cognitive dissonance", in *Scientific American*, 207(4), 93-107.
- [14] Heath, R. (2001) *Handbook of Public Relations*. Thousand Oaks, CA: Sage Publications.
- [15] Gerbner, G. (1990) "Epilogue: Advancing on the path of righteousness (maybe)", in Signorielli, N. and Morgan, M (eds), *Cultivation Analysis: New Directions in Media Effects Research*, Newbury Park, CA: Sage, 249-262.
- [16] Gerbner, G. (1998) "Cultivation analysis: An overview", in *Mass Communication and Society* Vol.I, 175-194.
- [17] Green, A. (2010) *Creativity in Public Relations*. 4th edition. London: CIPR, Kagan Page.
- [18] Grunig J.E. (1976) "Organizations and Public Relations: Testing a Communication Theory" in *Journalism and Communication Monographs* No.46, Texas.
- [19] Grunig J.E. (1992) *Excellence in Public Relations and Communication Management*. Hillsdale, New Jersey: Lawrence Erlbaum Associates.

- [20] Grunig J.E. (2005) *Il grande edificio e il suo costante arredamento. Quarant'anni di ricerca sulle relazioni pubbliche come funzione manageriale strategica*. New York: Institute for Public Relations.
- [21] Grunig J.E. and Grunig L.A. (1996) *Implications of Symmetry for a Theory of Ethics and Social Responsibility in Public Relations*. Paper presented to the Public Relations Interest Group, Chicago, IL: International Communication Association.
- [22] Grunig J.E. and Hunt T. (1984) *Managing Public Relations*. New York: Holt Rinehart Winston.
- [23] Habermas, J. (1990) *Storia e critica dell'opinione pubblica*. Roma-Bari: Laterza.
- [24] IPRA International Public Relations Association (1961, 2009) "Code of Venice". London.
- [25] Kimmerle J. and Cress, U. (2013) "The effects of TV and film exposure on knowledge about and attitudes toward mental disorders", *Journal of Community Psychology* 41(8), 931-943.
- [26] Kotler, P. (1999) *Il marketing second Kotler*. Milano: Il Sole 24 Ore.
- [27] Lee, I. (1906) "Declaration of Principles", as quoted by Sherman Morse "An Awakening in Wall Street: How the trusts, after years of silence, now speak through authorized and acknowledged press agents", in *The American Magazine*, vol. 62, September 1906: p.460.
- [28] Lippmann, W. (1920) *Liberty and the News*. New York: Harcourt, Brace and Howe Company.
- [29] Lippmann, W. (1922) *Public Opinion*. New York: Harcourt, Brace and Howe Company.
- [30] Lippmann, W. (1925) *The Phantom Public*. New York: Harcourt, Brace and Howe Company.
- [31] Maio, G.R. and Olson, J.M. (1998) "Attitude dissimulation and persuasion", in *Journal of Experimental Social Psychology*, 34(2), 182-201.
- [32] McCombs, M.E. (1981) "The agenda-setting approach", in Nimmo, D. & Sanders K.R. (1981). *Handbook of Political Communication*, London, UK and Beverly Hills, CA: Sage, 121-141.
- [33] Meisel, Z. F. and Karlawish, J. (2011) "Narratives vs evidence-based medicine – And, not or". in *JAMA Journal of the American Medical Association*, 306(18), 2022-2023.
- [34] Olasky, M. (1984) "Roots of Modern Public Relations: The Bernays Doctrine", in *Public Relations Quarterly*, Winter, 29(4), p.25.
- [35] Olasky, M. (1987) *Corporate Public Relations: A New Historical Perspective*. New Jersey: Lawrence Erlbaum Associates.
- [36] Parson, P. (2005) *L'etica nelle relazioni pubbliche*. Milano: Il Sole 24 Ore.
- [37] PRSA Public Relations Society of America (2000). "PRSA Code of Ethics". New York.
- [38] Semetko, H.A., Blumler J.G, Gurevitch, M., Weaver, D.H. and Barkin, S. (1990). *The Formation of Campaign Agendas: A comparative analysis of party and media roles in recent American and British Elections*. NY-London: Routledge Communication Series.
- [39] Windahl S., Signitzer B. and Olson, J.T. (1998) *Progettare la comunicazione strategica*. Milano: FrancoAngeli.

INTERNATIONAL REPORTS

- [1] Commission of European Communities (2001) *Green Book: Promoting a European frame for corporate social responsibility*. Brussels.
- [2] Gallup (2017 June), cited in Esipova, N, Ray, J. & Pugliese A. (2017). "Number of Potential Migrants Worldwide Tops 700 Million", Gallup World Poll, June 8, Washington DC.
- [3] Gallup (2017 August) "2017 Global Law and Order Report", August, Washington D.C.
- [4] Gallup (2018 June) "2018 Global Law and Order Report". Washington DC.
- [5] Gramlich, J. (2016) "Voters' perceptions of crime continue to conflict with reality". Fact-tank analysis. November 16, Pew Research Center Website, Washington DC. Retrieved online on February 28, 2019, <http://www.pewresearch.org/fact-tank/2016/11/16/voters-perceptions-of-crime-continue-to-conflict-with-reality/>.
- [6] Gramlich, J. (2019) "5 facts about crime in the US". Fact-tank analysis. January 3. Pew Research Center Website, Washington DC. Retrieved online on February 28, 2019, <http://www.pewresearch.org/fact-tank/2019/01/03/5-facts-about-crime-in-the-u-s/>.
- [7] Pew Research Center (1996) "TV News Viewership Declines. Fall off greater for young adults and computer users", report, May 13. Washington DC. Retrieved online on February 28, 2019, <http://www.pewresearch.org/wp-content/uploads/sites/4/legacy-pdf/127.pdf>. See also "Other Important Findings", Media release, May 13, online <http://www.people-press.org/1996/05/13/other-important-findings-12/>.

- [8] Pew Research Center (1997) "The Optimism Gap Grows. Politics, Morality, Entitlements Sap Confidence". Report. January 17. Washington D.C. Retrieved online on February 28, 2019, <http://www.pewresearch.org/wp-content/uploads/sites/4/legacy-pdf/115.pdf>.
- [9] Pew Research Center (2016) "A Divided and Pessimistic Electorate. Voters skeptical of progress in many areas - even jobs - since 2008". Report. November 10. Washington DC. Retrieved online on February 28, 2019, <http://www.people-press.org/2016/11/10/a-divided-and-pessimistic-electorate/>.
- [10] Ruvina, L. (2017) "Plani PR dhe foto-ese për fushatën #ShqipëriaPaArmë" (trans. *PR Plan and Photo-Essay for #AlbaniaWithoutWeapons Campaign*), Communication Expert, *Internal report* to the Communication Directorate, Ministry of Internal Affairs; 1st March, Tirana; Unpublished. Last update on 16th May 2017.
- [11] Safeworld and CPDE Center for Peace and Disarmament Education (2015, December) "Turning the Page. Small arms and light weapons in Albania", report on small arms and security in South Eastern Europe, p.114.
- [12] YouGov & the Economist Poll, March 3-5, 2019: 54-57. In Mathews, K. (2019) "Stop trying to convince Republicans Trump is a criminal – they do not care", March 9, Care2.com.

OFFICIAL SOURCES

- [1] AMA (2017) "Broadcasting Code of Audiovisual Media Services", Decision of AMA Audiovisual Media Authority no.228, dated December 12th: Albania. Retrieved online on March 10th, 2019 at <http://ama.gov.al/wp-content/uploads/2018/05/Kodi-i-Transmetimit-p%C3%ABr-Median-Audiovizive.pdf>
- [2] ASP Albanian State Police (2017) "Policia e Shtetit: Vijn masivisht dorëzimi vullnetar i armëve" (Transl. "Massive voluntary surrender of weapons goes on"), April 4th. Official website asp.gov.al.
- [3] ASP Albanian State Police (2019, February) "Analizë e punës së Policisë së Shtetit për vitin 2018" (Annual Performance Report of the State Police for 2018), February 9th. Online <https://www.asp.gov.al/index.php/275-slideshow-home/14971-analize-e-punes-se-policise-se-shtetit-per-vitin-2018>.
- [4] Council of the European Union (1991) "Council Directive 91/477/EEC of 18 June 1991 on control of the acquisition and possession of weapons", in *Official Journal of the European Union*, Series L, no.256, of 13.9.1991, pages 51-58, as amended by Directive 2008/51 / EC, in *Official Journal of the European Union*, Series L, no. 179, dated July 8th, 2008, pp. 5-11.
- [5] Council of Ministers Decision No.50, dated February 6th, 2019 "Për miratimin e Strategjisë për Kontrollin e Armëve të Vogla, të Lehta, Municioneve dhe Eksplozivëve 2019–2024 dhe të Planit të Veprimit 2019–2021" (On the Approval of the Small Arms, Light Weapons, Ammunition and Explosives Control 2019-2024 and the Action Plan 2019-2021), in *Official Gazette* No.13, February 8th, 2019, Tirana: Qendra e Botimeve Zyrtare, p.321. Retrieved online on February 28, 2019, http://www.qbz.gov.al/botime/fletore_zyrtare/2019/PDF-2019/13-2019.pdf.
- [6] Council of Europe & European Court of Human Rights "European Convention of Human Rights, European Court of Human Rights. Council of Europe. F-67075 Strasbourg. Retrieved online on April 30th, 2017, https://www.echr.coe.int/Documents/Convention_ENG.pdf.
- [7] ECHR European Court of Human Rights (2018) *Guide on Article 2 of the European Convention on Human Rights*, Council of Europe, December 31. ECHR Publication. Retrieved online on April 30th, 2017, https://www.echr.coe.int/Documents/Guide_Art_2_ENG.pdf.
- [8] Law No.7895/1995 "Kodi Penal i Republikës së Shqipërisë" (Criminal Code of the Republic of Albania), Article no.278, Official website of the General Prosecutor's Office www.pp.gov.al. Retrieved online on February 28, 2019, http://www.pp.gov.al/web/kodi_penal_2016_1033.pdf. For the English version, see also the unofficial translation at <http://rai-see.org/wp-content/uploads/2015/08/Criminal-Code-11-06-2015-EN.pdf>.
- [9] Law No.72/2014, dated July 10, 2014 "Për përdorimin e armëve të zjarrit" (On the Use of Firearms), in *Official Gazette* No.124, August 8, 2014, Tirana: Qendra e Botimeve Zyrtare, pp.5728-5729. Retrieved online on February 28, 2019, http://www.qbz.gov.al/botime/fletore_zyrtare/2014/PDF-2014/124-2014.pdf.
- [10] Law No.74/2014, dated July 10, 2014 "Për armët" (On Arms), in *Official Gazette* No.126, August 11, 2014, Tirana: Qendra e Botimeve Zyrtare, p.5775-5787. Retrieved online on February 28, 2019, http://www.qbz.gov.al/botime/fletore_zyrtare/2014/PDF-2014/126-2014.pdf.
- [11] Law No.82/2016 "Për disa ndryshime në Ligiin Nr.7895 datë 27.01.1995" (On some amendments on Law No.7895 dated January 27, 1995, as amended), Article no.2, in *Official Gazette* No.151, August 11, 2016, Tirana: Qendra e Botimeve Zyrtare, p.1171. Retrieved online on February 28, 2019, http://www.qbz.gov.al/botime/fletore_zyrtare/2016/PDF-2016/151-2016.pdf.

- [12] Law No.141/2016 dated December 22, 2016 "Mbi dhënie amnistie" (On amnesty), in *Official Gazette* No.255, December 30. Tirana: Qendra e Botimeve Zyrtare, pp.25513-25515.
- [13] Mol Albanian Ministry of Interior (2016, January) "Policia Që duam" (The Police We Want), booklet, as published in "2015, viti historik i rezultateve pozitive të Policisë së Shtetit", media statement, January 5. Official website www.mb.gov.al [online]. Retrieved online on February 28, 2019, <https://mb.gov.al/2016/01/05/2015-viti-historik-i-rezultateve-pozitive-te-policise-se-shtetit/>.
- [14] Mol Albanian Ministry of Interior (2016, November) "Fushatë ndërgjegjësuere kundër armëmbajtjes pa leje 'Mos gjuaj, por duaj'", Minister's speech, November 15. Official website www.mb.gov.al. Retrieved online on February 28, 2019, <https://mb.gov.al/2016/11/15/fushate-ndergjegjesuese-kunder-armembajtjes-pa-leje-mos-gjuaj-por-duaj/>.
- [15] Mol Albanian Ministry of Interior (2016). Ftesë për Konsultim Publik të projektligjit "Për dhënie amnistie". December 9. Official website of Mol.
- [16] Mol Albanian Ministry of Interior (2017) "Albania–Migration Profile 2016". Tirana: Official website of the Ministry of Interior and State Police. Retrieved online on February 28, 2019, https://mb.gov.al/wp-content/uploads/2018/02/Profil_i_Migracionit_2016_Eng.pdf.
- [17] Mol Albanian Ministry of Interior (2017, April) "Amnistia për armët, Komisioni i Sigurisë: Të shtyhet deri në 31 dhjetor", April 18. Official website of Mol mb.gov.al.
- [18] Parliament (2016) Review in the National Security Commission. December 20. Official website of the Parliament. Retrieved on February 28, 2019, <https://www.parlament.al/wp-content/uploads/2016/12/Raport-Amnistia-Dhjetor-2016.pdf>.
- [19] Parliament (2016) Voting in the Assembly of the Law 141/2016 "On Amnesty". Official website parlament.al. Retrieved on April 30, 2017, <https://www.parlament.al/wp-content/uploads/2016/12/ligj-nr.-141-dt.-22.12.2016.pdf>.
- [20] President of the Republic (2016) "Presidenti Nishani dekreton shpallje ligji nr. 141/2016" (President Nishani decides law announcement no. 141/2016). Official website president.al. Retrieved on April 30, 2017, <http://president.al/en/presidenti-nishani-dekreton-shpallje-ligji-nr-1412016/>.
- [21] Prime Minister Office (2016, December) "Projektligje të miratuara në mbledhjen e Këshillit të Ministrave, datë 07 Dhjetor 2016" (Draft-laws adopted at the meeting of the Council of Ministers, dated 07 December 2016), December 7. Official website kryeministria.al. Retrieved online on February 28, 2019, <https://www.kryeministria.al/newsroom/projektligje-te-miratuara-ne-mbledhjen-e-keshillit-te-ministrave-date-07-dhjetor-2016/>.
- [22] SEESAC (2016) "Don't Shoot but Love" Stop illicit use of firearms before it is too late. November 15. Official website seesac.org. Retrieved online on April 30, 2017, <http://www.seesac.org/News-SALW/Dont-Shoot-but-Love-Stop-illicit-use-of-firearms-before-it-is-too-late/>.
- [23] Tahiri, S. (2017) "2016, vit i konsolidimit të punës së Policisë në luftën kundër kriminalitetit", Minister speech at the Annual Performance of Mol and ASP, January 4, Mol Official website. Retrieved online on April 30, 2017, <https://mb.gov.al/2017/01/04/2016-vit-i-konsolidimit-te-punes-se-policise-ne-luften-kunder-kriminalitetit/>.
- [24] Tahiri, S. (2017) "Gjirokastër, Tahiri: Dorëzimi vullnetar i armëve, prioriteti ynë për 2017" (Tahiri: Voluntary surrender firearms, our priority for 2017), January 17. Official website of Mol.
- [25] Xhafaj, F. (2017) "Ministri Xhafaj: Detyra prioritare, t'i konsolidoj arritjet dhe t'i çoj përpara", March 27. Mol official website. Retrieved online on April 30, 2017, <https://mb.gov.al/te-rejat/lajme/ministri-xhafaj-detyra-prioritare-t-i-konsolidoj-arritjet-dhe-t-i-coj-perpara&page=14>.

MAGAZINES

- [1] Bernet, A. (2004) "La presse à la botte, la culture au pas", in *Historia Thématique 'Napoléon, empereur ou dictateur'*, no.92, Novembre-Décembre 2004, p.63.
- [2] Lehmann, E. and Wire, C. (2015) "Obama Seeks Psychological Help with Climate Change. The social sciences could help combat global warming", in *Scientific American*, September 16.

NEWS AGENCIES

- [1] Argonathrpg.eu (2017) "Hellbanianz Crime Family / Vinz". Retrieved online on April 30, 2018 www.argonathrpg.eu/index.php?topic=122643.0

- [2] 27.al (2017) "Kur Dashnor Diko nxirrte armë nga deti në vitin 1997". November 18 [online]. Retrieved on February 28, 2019 at <http://27.al/kur-dashnor-diko-nxirrte-arme-nga-deti-ne-vitin-1997/>.
- [3] Balkanweb (2016) "Berisha i qëndron deklaratës për armët: Nuk thashë demokratë armatosuni, por qytetarë", April 26. Retrieved online on April 30, 2017 at <https://balkanweb.com/berisha-i-qendron-deklarates-per-armet-nuk-thashe-demokrate-armatosuni-por-qytetare/>.
- [4] Balkanweb (2017) "Të dorëzosh armët pa leje përkundrejt një "shpërblimi"? Ja stimuli që propozon deputeti i PS", April 18. Retrieved online on April 30, 2017 at <https://balkanweb.com/site/te-dorezosh-armet-pa-leje-perkundrejt-nje-shperblimi-ja-stimuli-qe-propozon-paulin-sterkaj/>.
- [5] Balkanweb (2017) "VIDEO/ Ish- kryeministri Berisha: Unë hapa depot e armëve për të furnizuar UÇK-në", April 3. Retrieved online on April 30, 2017 at <https://balkanweb.com/video-ish-kryeministri-berisha-une-hapa-depot-e-armeve-per-te-furnizuar-uck-ne/>.
- [6] Buzhala, B. (2017) "Kur ra Shqipëria – Pjesa II" (When Albania fell – Part II), Documentary on 1997 events and Kosovo war, in *Zona Express*, TV Dukagjini, April 2, Kosova. Video retrieved online on April 30, 2017, https://www.youtube.com/watch?time_continue=1110&v=NKR1Gmh3X0E.
- [7] Java News (2017) "Deputeti i PS: T'u jepet një laptop atyre që dorëzojnë armët", April 18.
- [8] Java News (2017) "Firmosin deputetët/Afati për dorëzimin vullnetar të armëve shtyhet deri në dhjetor", April 18..
- [9] Lajmi.net (2016) "Stresi, shok me të fortin e 'Myslym Shyrit', drogë, armë dhe femra", 13th July.
- [10] Panorama (2013) "Sterkaj: Armët e '97 të legalizohen, pastaj të mblihen", February 15.
- [11] Telegrafi (2018) "I inspiruar nga loja e famshme që e luajti në fëmijëri, Stresi flet rreth projektin të ri 'GTA' që do ta sjellë së shpejti" (ft. Hellbianz), 2nd February.
- [12] Tema (2018) "Berisha bën thirrje për luftë: Në sheshet e Shqipërisë do ushtojë 'O djem rrëmbin armët, ja vdekje ja liri". December 21. Retrieved online on March 10, 2019 at <http://www.gazetatema.net/2018/12/21/video-berisha-ben-thirrje-per-lufte-ne-sheshet-e-shqiperise-do-ushtojte-o-djem-rrembeni-armet-ja-vdekje-ja-liri/>.
- [13] The Express (2018) "Albanian drug lords who 'run London' flaunt pictures of guns and wads of cash on Instagram", 2nd November.
- [14] The Guardian (2019) "Kings of cocaine: how the Albanian mafia seized control of the UK drugs trade", 13th January.
- [15] The Sun (2017) "Jailed Albanian gang members are posting videos online of themselves taking drugs in a British prison", 4th December.
- [16] The Sun (2019) "Brutal Mafia. The inside story of how brutal Albanian gangs rose from the UK's premier sex traffickers to kingpin cocaine dealers", 10th March.

SOCIAL MEDIA

- [1] ASP (2017, April) "Vijon masivsisht dorëzimi vullnetar i armëve", April 4. *Policia e Shtetit* Official Facebook profile. Retrieved online on April 30, 2017, <https://www.facebook.com/1502420603377639/videos/1938029463150082/>.
- [2] MOS GJUAJ, por DUAJ (2016). In *Facebook*, Public Page. Retrieved April 30, 2017, from <https://www.facebook.com/MOS-GJUAJ-por-DUAJ-887676457999184/>
- [3] Shqipëria Pa Arme (2017). In *Facebook*, Public Page. Retrieved April 30, 2017, from <https://www.facebook.com/shqiperiapaarme/>.

YOUTUBE VIDEOS

- [1] Mol Albanian Ministry of Interior (2017, March) "#ShqipëriaPaArmë - Spot i bazuar në ngjarje të vërtetë", in *YouTube*; March 24th. Retrieved 9th March 2019, from <https://www.youtube.com/watch?v=HWWUzPe3a6U>. ©2017 Ministria e Brendshme. Supported by PAMECA. Marketing agency Connex. Advertising agency Nilor.
- [2] Mol Albanian Ministry of Interior (2017, April) "#ShqipëriaPaArmë Spoti VIP MPB, 10 prill 2017", in *YouTube*; April 10th. Retrieved 9th March 2017, from <https://www.youtube.com/watch?v=emN639oTqTs>. ©2017 Ministria e Brendshme. Supported by PAMECA. Marketing agency Connex. Advertising agency Nilor.

A Comparison of Equity Valuation Models: Empirical Evidence from a Sample of UK Companies

Ja Ryong Kim

Dr. University of Nottingham, UK

B07, Si Yuan Building, University of Nottingham, Jubilee Campus, Wollaton Road, NG8 1BB, UK

Abstract

This paper aims to answer one main question: can the superior models in accounting field be superior in finance field? That is, can models that generate a better approximation to stock price also generate higher returns in the future? To answer this question, I conduct pricing errors analysis and time-series returns analysis. The most important finding is models that approximate stock price better tend to produce higher returns in the future; implying findings in accounting literature have practical implications to analysts and investors. The consistent rankings of models are observed throughout the research: forward earnings multiples perform the best, followed by fundamental valuation models and historical earnings multiples, and book value and sales multiples worst. However, multiples are ranked rather as a group in the UK. Interestingly, residual income models produce similar returns to forward earnings multiples, but the accuracy of their estimates varies depending on their terminal value assumptions.

Keywords: comparison, equity, valuation, models, empirical, evidence, sample, UK companies

Introduction

Estimating the intrinsic value of stocks is one of the most intriguing and important questions in accounting and finance. Many valuation models have been developed to measure the intrinsic price of stocks assuming the stock price will eventually converge to its fundamental value. However, some argue that this effort is pointless because current market price is already the intrinsic price, reflecting all valuable information (Fama (1970) and Firth (1976)). One thing they all share in common is that the intrinsic value equals the sum of present values of all future payoffs to stockholders, although methodologies and assumptions they employ are not agreed upon.

In accounting literature, it is common to adopt the efficient market hypothesis (EMH) as the starting point, and assume model estimations to be equal to market prices. To measure the usefulness of models, academics compare the model estimation with the market price and observe how close they are: the closer they are, the better the model it is considered. Although not everyone agrees, more and more research reveals that fundamental valuation models, especially residual income model (RIM), produce a closer approximation to the market price than simple price multiples.

In contrast, most of researchers and practitioners in finance believe the market price is biased and will converge to the intrinsic value eventually in the future. They regard a better model as the one that generates more returns to investors in the future, rather than the one that better approximates the market price. Contrary to accounting researchers, analysts and fund managers believe fundamental valuation models are too sensitive to the assumptions they employ. As a result, survey results reveal that practitioners prefer simple price multiples such as price-to-earnings ratio (P/E) or dividend yield (D/Y) to fundamental valuation models because they are easier to use and communicate to their clients.

This paper aims to answer one main question: can the superior models in accounting research field be superior in finance field? That is, can models that generate a better approximation to stock price also generate higher returns in the future if they are used? To answer this question, I conduct two different analyses – pricing errors analysis and time-series returns analysis – and compare the performance of models in both analyses.

This paper uses a sample of UK firms and compares the results with those for US firms. This is because not many studies have been carried out in the UK compared to the US, where a lot of researches are performed.

For the models selection, I mainly refer to Liu et al. (2002) because: (1) Liu et al. cover most of the valuation models widely used in practice or studied in academic papers under the same methodology. This fact is important because most other papers cover only a subset of models with a different methodology, making direct comparison between them hard; (2) different types of models are tested such as accruals, cash flows, forward-looking information and fundamental valuation models, providing a panoramic view about the performances of various models; (3) instead of comparing models in terms of their explanatory power (i.e., R^2) to the stock price, they use pricing errors to evaluate the performance of models. The pricing errors measured in the first stage analysis are used later in the second stage time-series returns analysis in this paper; and (4) Liu et al. compare performances of models in different industries, providing detailed insights to model users in different areas.

To enable the direct comparison between UK and US results, this paper tries to use the same methods that Liu et al. (2002) use. However, I release some criteria to maintain a certain number of samples, given the limited data availability compared to the US. Besides that, this paper makes other differences from Liu et al. (2002). In the first stage, pricing errors analysis, I did not use the intercept adjusted method. This is because this method produces similar results to those of the no-intercept adjusted method, but in a much difficult way. Considering the perspectives of model users who prefer simple and easy to use method, I only use the no-intercept adjusted method. Instead, this paper employs a regression methodology that is broadly used in practice and academics. In the second stage, time-series returns analysis, I depart from the EMH assumption and measure the annual and cumulative returns of models for up to five years' time horizon (i.e., from T+1 to T+5). Buy-and-hold returns – buying top quintile (undervalued) stocks and short-selling bottom quintile (overvalued) stocks – based on the pricing errors are used to measure the time-series returns. The first stage analysis aims to evaluate the superiority of models in terms of pricing errors that accounting researchers regard as important, and the second stage analysis focuses on the performance of models in terms of returns generation ability that financial practitioners consider important. If the rankings of models between the two analyses are similar, I can conclude that the findings in accounting literature have useful as well as practical implications to model users in finance.

This paper finds a number of interesting results that are useful to both accounting and finance researchers: (1) in the pricing errors analysis, the rankings of models between the UK and the US are almost identical: Forward earnings multiples outperform historical earnings multiples, followed by book value multiples, and sales multiples in descending order. However, two distinctive patterns are observed in the UK. Firstly, models are ranked as a group rather than as an individual model, and the differences of pricing errors for multiples within the group are minimal. Secondly, one of the residual income model (RIM) is consistently included in the first group in performance with forward earnings multiples, in contrast to the results in the US where all RIMs underperform forward earnings multiples; (2) despite its popular usage in practice, a regression methodology generates larger pricing errors than those of the harmonic mean methodology; (3) similar to Liu et al. (2002), the rankings of models are generally consistent across sectors. However, they are again ranked as a group rather than an individual model; and (4) most importantly, the rankings of models in the pricing errors analysis and the time-series returns analysis are generally identical indicating the findings in accounting literature have useful implications to financial practitioners. Additionally, two interesting results are found from the time-series returns analysis. First, other RIMs, once excluded from the first performance group in the pricing errors analysis, are now included in the group. This implies, on average, RIMs perform similar to forward earnings multiples in terms of returns generation, but the accuracy of their estimations varies depending on the terminal value assumptions they employ. Second, buy-and-hold returns, especially short-selling returns, are largely affected by a relatively few extreme values.

Methodology

Value Drivers

The types of models and methodologies are primarily determined based on Liu et al. (2002) for the direct comparison between UK and US results. However, some models are deleted because of data unavailability in the UK, and some are added, reflecting their popularity in practice. To measure multiples, two simple and popular methods – the harmonic mean method and a regression method – are adopted considering model users' perspectives.

Models are broadly grouped into three categories: price multiples using historical data, price multiples using forecasted data, and fundamental valuation model multiples. For the price multiples using historical data, four value drivers are chosen: book value of equity (BV), actual earnings per share from I/B/E/S (IACT), earnings before interest, taxes, depreciation and amortization (EBITDA), and sales.

Fundamental valuation model multiples include four RIMs and three DDMs with different assumptions. RIM is theoretically the same as DDM given clean surplus accounting¹. However, RIM is developed to overcome the disadvantages of DDM that (1) dividends are the indicator of value distribution, not value creation, and (2) a large number of companies, especially growth companies, do not actually pay dividends making DDM inappropriate.

DDM explains equity value is the sum of the present values of expected dividends:

$$\text{Equity Value} = \frac{DIV_1}{(1+r)} + \frac{DIV_2}{(1+r)^2} + \frac{DIV_3}{(1+r)^3} \dots \quad (1)$$

where DIV_t is forecasted dividend for year t and r is the cost of equity. According to clean surplus accounting, dividend can be expressed as:

$$DIV_t = EA_t + BV_{t-1} - BV_t \quad (2)$$

where EA_t means earnings and BV_t means book value for year t .

Substituting (2) into (1),

$$\begin{aligned} \text{Equity Value} &= \frac{EA_1 + BV_0 - BV_1}{(1+r)} + \frac{EA_2 + BV_1 - BV_2}{(1+r)^2} \dots \\ &= \frac{EA_1 - rBV_0 + (1+r)BV_0 - BV_1}{(1+r)} + \frac{EA_2 - rBV_1 + (1+r)BV_1 - BV_2}{(1+r)^2} \dots \\ &= BV_0 + \frac{EA_1 - rBV_0}{(1+r)} + \frac{EA_2 - rBV_1}{(1+r)^2} + \frac{EA_3 - rBV_2}{(1+r)^3} \dots \end{aligned} \quad (3)$$

Equation (3) is RIM estimating stock value as the current book value of equity plus the sum of the present values of abnormal earnings. Gode and Ohlson (2006) argue that the usefulness of RIM varies across sectors depending on how close firm's book value approximates its market value; therefore, RIM is expected to perform well in finance sector where financial instruments are marked to market, whereas it is not in technology sector where intangible assets – off-balance sheet item – account for a large part of market value. This argument will be verified in the sector rankings analysis later in this paper.

Three popular methods for the terminal value calculation are employed in the paper. The first model (P1) forecasts future earnings over the next five years and then assumes abnormal earnings to be maintained constant afterwards:

$$P1_t = BV_t + \sum_{\tau=1}^5 \left[\frac{E_t(EA_{t+\tau} - r_t BV_{t+\tau-1})}{(1+r_t)^\tau} \right] + \frac{E_t(EA_{t+5} - r_t BV_{t+4})}{r_t(1+r_t)^5} \quad (4)$$

The second model (P2) covers a five-year forecast horizon similar to P1, but assumes abnormal earnings will be eliminated after the horizon:

$$P2_t = BV_t + \sum_{\tau=1}^5 \left[\frac{E_t(EA_{t+\tau} - r_t BV_{t+\tau-1})}{(1+r_t)^\tau} \right] \quad (5)$$

The third model (P3) covers two-year forecast horizon and then presumes firm's return on equity (ROE) will linearly converge to its sector median ROE in the next nine years, followed by the constant abnormal earnings at that level:

¹ All changes in equity are reflected in income statement. Exceptions are transactions such as dividends, repurchases or offerings. Thus, year-end book value of equity is the beginning book value of equity plus earnings minus dividends:

$$BV_t = BV_{t-1} + EA_t - DIV_t$$

where BV_t is book value, EA_t is earnings, and DIV_t means dividend for year t .

$$P3_t = BV_t + \sum_{\tau=1}^2 \left[\frac{E_t(EA_{t+\tau} - r_t BV_{t+\tau-1})}{(1+r_t)^\tau} \right] + \sum_{\tau=3}^{11} \left[\frac{\{E_t(ROE_{t+\tau}) - r_t\} BV_{t+\tau-1}}{(1+r_t)^\tau} \right] + \frac{\{E_t(ROE_{t+12}) - r_t\} BV_{t+11}}{r_t(1+r_t)^{11}} \quad (6)$$

This pattern is proved by the empirical evidences for European firms over time that firm's ROE converges to the median ROE in the next ten years (Palepu et al. (2007)). P1, P2 and P3 are also mentioned in Liu et al. (2002), whereas the next models are not. The fourth model (P4) is basically same as P3 but assumes firm's ROE to be linearly converge to the sector median ROE in the next five years:

$$P4_t = BV_t + \sum_{\tau=1}^2 \left[\frac{E_t(EA_{t+\tau} - r_t BV_{t+\tau-1})}{(1+r_t)^\tau} \right] + \sum_{\tau=3}^7 \left[\frac{\{E_t(ROE_{t+\tau}) - r_t\} BV_{t+\tau-1}}{(1+r_t)^\tau} \right] + \frac{\{E_t(ROE_{t+8}) - r_t\} BV_{t+7}}{r_t(1+r_t)^7} \quad (7)$$

The pattern of P4 is based on the empirical findings in Nissim and Penman (2001) that earnings measures (e.g., residual earnings, residual operating income, return on common equity, and return on net operating assets) have a tendency to converge to their median value over the next five years.

Three different DDMs are additionally examined in this paper to compare the performances with those of RIMs. Despite their theoretical equivalence, DDM and RIM use different value drivers with different characteristics, so they normally produce inconsistent estimates. The first two DDMs use similar assumptions to P1 and P2 to make direct comparisons between them.

The first DDM (D1) includes a five-year forecast horizon and presumes constant dividend payouts after the horizon:

$$D1_t = \sum_{\tau=1}^5 \left[\frac{E_t(DIV_\tau)}{(1+r_t)^\tau} \right] + \frac{E_t(DIV_{t+5})}{r_t(1+r_t)^5} \quad (8)$$

The second DDM (D2) only uses five years' dividend forecasts with no terminal value:

$$D2_t = \sum_{\tau=1}^5 \left[\frac{E_t(DIV_\tau)}{(1+r_t)^\tau} \right] \quad (9)$$

However, the third model (D3) reflects the unique characteristic of dividends that dividend payoffs are unlikely to decrease, but likely to increase when constant dividend payout ratio is assumed. The survey results in Brav et al. (2004) indicate financial executives are reluctant to change the current dividend payout ratio because increase in dividend payout ratio can be a burden in the future when the firm's performance deteriorates, while decrease in dividend payouts can cause investors' dissatisfaction. Therefore, D3 uses 3.5% constant long-term growth rate in dividends considering historical UK GDP growth rates. Therefore, D3 is expressed as:

$$D3_t = \sum_{\tau=1}^5 \left[\frac{E_t(DIV_\tau)}{(1+r_t)^\tau} \right] + \frac{E_t(DIV_{t+5})(1+0.035)}{(r_t - 0.035)(1+r_t)^5} \quad (10)$$

Pricing Errors Analysis

By definition, the multiple is the price of a single unit of firm's performance. For example, P/BV is the price of a single unit of book values. Therefore, if the volume of firm's performance and its multiple are known, the price of a firm can be estimated by multiplying them. However, because the multiple of a firm is hard to estimate directly, an indirect method that uses the multiple of comparable firms is widely used in practice. This indirect methodology is based on the fundamental economic principle: the law of one price. It states every identical product should have one same price, or arbitrageurs will buy the product in the cheaper market and sell it at the higher price in the different market, eliminating the price difference. The

same rule applies to equity valuation: companies with same features should have one identical price. Specifically, if the multiple of a comparable firm is known, it can be used for that of a target firm. This can be expressed as:

$$\text{Equity Value } (p_i) = \beta x_i + \varepsilon_i \quad (11)$$

where β is the multiple of a comparable firm, x_i is the value driver of a firm and ε_i means the error for firm i .

To select comparable firms to estimate β , three methods are normally used in practice: (1) analysts often choose a small number of, but most similar, comparable firms for each individual case (Goedhart (2005)); (2) firms in the same sector are chosen as comparable firms. This method is most widely used in academic research to estimate the generalised β ; and (3) entire firms across sectors are selected as comparable firms. Because the first method is not suitable for the research that aims to draw a generalised conclusion, I employ methods (2) and (3) that are widely used in academic research.

In addition to the selection of comparable firms, there are also a number of measures to calculate β . Baker and Ruback (1999) use four different measurements (i.e., simple mean, harmonic mean, value-weighted mean and simple median), and find the harmonic mean and the simple median produce the smallest errors. However, considering the simple median measure produces the wider dispersion of errors than the harmonic mean does, the harmonic mean measure is considered most reliable. Kim and Ritter (1999) employ a regression measure to estimate β for their IPO valuations. Although all measures are commonly used in practice, I chose the harmonic mean, the median and a regression measure. The harmonic mean and the median are chosen because they produce more accurate estimates than the other measures. Moreover, they are mainly used in Liu et al. (2002). A regression method is selected because its performances are yet examined in other research. By using the three different measures, this paper expects to check which measure produces the most accurate estimates in the UK.

Harmonic Mean and Simple Median Measures

In the first stage analysis, pricing errors are measured to evaluate the performance of multiples. However, the errors calculated in equation (11) can mislead the conclusion because those errors are measured in value terms, not in percentage terms. In value terms, bigger companies tend to have larger errors than those for smaller companies, making the direct comparison between multiples hard. To estimate the errors in percentage terms, equation (11) are divided by p_i in both sides:

$$1 = \beta \frac{x_i}{p_i} + \frac{\varepsilon_i}{p_i} \quad (12)$$

where ε_i/p_i is the pricing error in percentage terms. For the direct comparison with Liu et al. (2002), this paper assumes that expected pricing errors to be zero,

$$E\left(\frac{\varepsilon_i}{p_i}\right) = 1 - E\left(\beta \frac{x_i}{p_i}\right) = 0$$

then the multiple β is expressed as the inverse of expected x_i/p_i :

$$\beta = \frac{1}{E\left(\frac{x_i}{p_i}\right)} \quad (13)$$

As explained earlier, β is measured using the harmonic mean of p_i/x_i and the inverse of the median of x_i/p_i . After estimating β , pricing error is measured as the gap between the market price and the model estimation divided by the market price:

$$\frac{\varepsilon_i}{p_i} = \frac{p_i - \hat{\beta} x_i}{p_i} \quad (14)$$

To evaluate the performances of multiples, this paper primarily uses the interquartile range of pricing errors consistent with Liu et al. (2002).

A Regression Measure

This paper employs the ordinary least squares (OLS) regression to estimate the linear relationship between the market prices and the value drivers of comparable firms. The OLS regression does not require expected pricing errors to be zero, but it principally calculates a coefficient (i.e., multiple β) that minimises the sum of squared errors. The pricing errors are calculated in the same way as equation (14) to allow direct comparisons between the performances of multiples.

Time-Series Returns Analysis

Time-series returns analysis is a typical methodology used in finance to measure the performance of models or strategies over the time horizon. It estimates the returns that the model would generate if the model strategy were used in the past. A quintile based buy-and-hold strategy is employed to measure the returns consistent with Frankel and Lee (1998): buying top quintile (undervalued) stocks and short-selling bottom quintile (overvalued) stocks based on the pricing errors calculated in the first stage analysis. Both cumulative and annual buy-and-hold returns are estimated across up to five-years' time windows (from T+1 to T+5) based on the findings in Nissim and Penman (2001) that most earnings advantages disappear within the upcoming five years.

Data

Three data sources are used to conduct the research: (1) Compustat Global for accounting information; (2) I/B/E/S for share price, actual EPS, forecasted EPS, and sector classification; and (3) Datastream for 10-year Gilt yields and FTSE 100 index. In contrast to US data where all companies are identified by CUSIP (Committee on Uniform Security Identification Procedures) across different data sources, UK data need an additional effort to match the companies in Compustat Global and I/B/E/S. This is because Compustat Global uses ISIN (International Securities Identifying Number) and SEDOL (Stock Exchange Daily Official List) while I/B/E/S uses CUSIP as a company identification code. To match ISIN (or SEDOL) with CUSIP, the unique six digits consistently observed across the codes are compared (according to the characteristics of the codes). Specifically, the last six digits in CUSIP are the same as the first six digits in SEDOL, and the same as the middle six digits (from 5th to 10th) in ISIN. To ensure the code matching is conducted in a right way, company names (not only current but also historical names) are additionally matched for each case. Finally, 2,531 companies are confirmed as being listed in both Compustat Global and I/B/E/S. The research covers from 1988 to 2008, the full time period available from both Compustat Global and I/B/E/S, to make a general interpretation for UK companies.

Results

Descriptive Statistics

Table II describes the mean, median, standard deviation and nine different percentile values for the multiples. Due to the relative size difference between value drivers, direct comparison between the multiples is not very meaningful. However, interestingly, when the results are compared to those in Liu et al. (2002), the size of values for multiples are very similar to those in the US implying comparable assumptions and methodologies are employed. Additionally, when the mean and the median are compared within the multiple, the mean is always higher than the median indicating all multiples are skewed to the right. This is probably due to the bounds in multiples: value drivers can go up without limit allowing extremely positive multiples, but cannot go down below zero restricting multiples to stay above zero.

The correlations between multiples are described in Table III. The two interesting findings are: (1) by drawing a vertical line between SALES/TP and EPS1/P, different patterns are clearly observed on each side: the correlations on the left side are considerably low (i.e., mostly smaller than 0.5), whereas those on the right side are significantly high (i.e., mostly larger than 0.5). This implies historical and forecasted data do not share common information to a large extent. More interestingly, multiples using forecasted data, especially earnings forecasts, are highly correlated with each other, but those using historical data are not particularly correlated even between themselves; and (2) models using future dividends (i.e., D*/P and three DDMs) are rarely correlated with any multiples using historical data indicating dividend payout forecasts are less relevant to the firm's historical performances.

Pricing Errors Analysis

Harmonic Mean and Simple Median Measures

Table IV displays the main result of the pricing errors analysis. The table consists of three panels according to the methodologies used in multiple calculations: the

Table II**Descriptions of the Multiples**

The mean, median, standard deviation and nine percentile values are displayed for the multiples. Horizontal lines are drawn to categorise price multiples with same characteristics: multiples using historical data, multiples using forecasted data and fundamental valuation model multiples.

	Mean	Median	SD	Percentile								
				1%	5%	10%	25%	50%	75%	90%	95%	99%
BV/P	0.626	0.496	0.540	0.043	0.115	0.173	0.301	0.496	0.798	1.193	1.520	2.404
IAC/T/P	0.080	0.070	0.075	0.007	0.021	0.032	0.049	0.070	0.099	0.136	0.168	0.252
EBITDA/P	0.186	0.156	0.150	0.022	0.054	0.074	0.109	0.156	0.223	0.314	0.396	0.669
SALES/P	1.984	1.301	2.332	0.134	0.289	0.399	0.698	1.301	2.332	4.156	6.061	11.826
EBITDA/TP	0.137	0.126	0.077	0.019	0.047	0.066	0.092	0.126	0.168	0.217	0.257	0.385
SALES/TP	1.450	1.049	1.444	0.120	0.241	0.332	0.576	1.049	1.771	2.896	4.128	7.385
EPS1/P	0.085	0.075	0.045	0.015	0.030	0.041	0.056	0.075	0.103	0.140	0.170	0.246
EPS2/P	0.099	0.087	0.051	0.022	0.040	0.050	0.066	0.087	0.119	0.161	0.196	0.284
EG1/P	0.109	0.096	0.056	0.024	0.044	0.055	0.073	0.096	0.132	0.178	0.217	0.314
EG2/P	0.010	0.009	0.006	0.002	0.003	0.004	0.006	0.009	0.013	0.018	0.022	0.034
ES1/P	0.551	0.484	0.285	0.131	0.231	0.284	0.367	0.484	0.661	0.897	1.094	1.601
ES2/P	0.463	0.404	0.243	0.112	0.196	0.238	0.306	0.404	0.556	0.759	0.925	1.363
D*/P	0.026	0.023	0.020	0.002	0.005	0.007	0.011	0.023	0.036	0.051	0.063	0.093
P1/P	2.128	1.777	1.358	0.484	0.806	0.961	1.267	1.778	2.574	3.711	4.610	7.204
P2/P	0.910	0.776	0.555	0.196	0.320	0.400	0.553	0.776	1.120	1.570	1.913	2.844
P3/P	3.212	2.609	2.371	0.611	0.907	1.116	1.671	2.609	3.989	6.009	7.527	11.888
P4/P	2.559	2.093	1.854	0.475	0.731	0.912	1.341	2.093	3.195	4.735	5.960	9.490
D1/P	0.740	0.596	0.625	0.081	0.140	0.181	0.303	0.596	0.970	1.456	1.883	3.051
D2/P	0.142	0.125	0.104	0.017	0.030	0.038	0.063	0.125	0.190	0.267	0.338	0.516
D3/P	2.820	1.435	5.109	0.179	0.299	0.390	0.681	1.435	3.197	5.459	8.078	27.997

Table III**Correlations between Multiples**

	BV/ P	IAC/ P	EBITDA/ P	SALES/ P	EBITDA/ TP	SALES/ TP	EPS1/ P	EPS2/ P	EG1/ P	EG2/ P	ES1/ P	ES2/ P	D*/ P	P1/ P	P2/ P	P3/ P	P4/ P	D1/ P	D2/ P	D3/ P
BV/P	1																			
IAC/P	0.2	1																		
EBITDA/P	0.6		1																	
P	0.4	0.27	0.4	1																
SALE/P	0.4	0.25	0.50	0.4	1															
EBITDA/TP	0.4				1															
TP	0.5	0.28	0.80	0.39	0.4	1														
SALES/TP	0.3					1														
TP	0.2	0.23	0.34	0.91	0.42	0.3	1													

Figure 1 describes the distribution of pricing errors for some representative models. As explained above, three different groups are clearly distinguished: Forward earnings multiples including P1 place at the top, followed by IACT, EBITDA and DDM multiples in the middle, and BV and SALES multiples at the bottom. The more peaked distribution the multiple has around the zero pricing error line, the more accurate it is. Horizontal axis represents errors in every 10% scaled by price and vertical axis represents the percentage of observations. It is apparent that less

Table IV**Pricing Errors for Multiples using Harmonic Mean and Simple Median**

Comparable firms are based on either the same sector or the entire cross-section. Price estimations are measured as: $p_i = \beta x_i + \varepsilon_i$, multiples are measured as: $\beta = 1/E\left(\frac{x_i}{p_i}\right)$, the harmonic mean is used in Panel A and B, and the simple median is used in Panel C, and pricing error is $\frac{\varepsilon_i}{p_i} = \frac{p_i - \beta x_i}{p_i}$.

Panel A: Multiples using Harmonic Mean of Firms from the Same Sector							
	Mean	Median	SD	Ranges			
				25%-75%	10%-90%	5%-95%	1%-99%
BV/P	0.000	0.177	0.785	0.768	1.564	2.127	3.446
IAC/P	0.000	0.087	0.732	0.545	1.173	1.630	2.801
EBITDA/P	0.000	0.125	0.695	0.564	1.188	1.672	3.185
SALES/P	0.000	0.293	1.008	0.830	1.806	2.716	4.940
EBITDA/TP	-0.291	-0.111	0.955	0.719	1.558	2.204	4.139
SALES/TP	-0.285	0.099	1.320	1.072	2.331	3.475	6.447
EPS1/P	0.000	0.074	0.465	0.487	1.028	1.448	2.412
EPS2/P	0.000	0.083	0.456	0.458	0.986	1.400	2.380
EG1/P	0.000	0.083	0.456	0.458	0.986	1.400	2.380
EG2/P	0.000	0.083	0.456	0.458	0.986	1.400	2.380
ES1/P	0.000	0.085	0.458	0.456	0.982	1.384	2.366
ES2/P	0.000	0.086	0.456	0.455	0.981	1.385	2.351
D*/P	0.000	0.069	0.567	0.631	1.306	1.758	2.733
P1/P	0.000	0.089	0.482	0.457	0.993	1.408	2.447
P2/P	0.000	0.109	0.541	0.560	1.151	1.551	2.547
P3/P	0.000	0.111	0.533	0.520	1.084	1.509	2.519
P4/P	0.000	0.123	0.581	0.595	1.212	1.637	2.669
D1/P	0.000	0.081	0.572	0.593	1.258	1.716	2.855
D2/P	0.000	0.076	0.545	0.586	1.249	1.693	2.692
D3/P	0.000	0.083	0.578	0.594	1.260	1.718	2.865

Panel B: Multiples using Harmonic Mean of Firms from the Entire Cross-Section							
	Mean	Median	SD	Ranges			
				25%-75%	10%-90%	5%-95%	1%-99%
BV/P	0.000	0.186	0.849	0.778	1.606	2.191	3.627
IAC/P	0.000	0.090	0.777	0.570	1.212	1.673	2.854
EBITDA/P	0.000	0.141	0.785	0.593	1.240	1.748	3.295
SALES/P	0.000	0.335	1.143	0.826	1.863	2.860	5.857
EBITDA/TP	-0.332	-0.134	1.060	0.786	1.656	2.339	4.369
SALES/TP	-0.342	0.110	1.544	1.093	2.513	3.856	7.773
EPS1/P	0.000	0.075	0.480	0.509	1.087	1.494	2.490
EPS2/P	0.000	0.086	0.470	0.478	1.033	1.440	2.432
EG1/P	0.000	0.087	0.469	0.479	1.029	1.438	2.435
EG2/P	0.000	0.097	0.500	0.504	1.087	1.532	2.554
ES1/P	0.000	0.089	0.472	0.477	1.027	1.435	2.435

ES2/P	0.000	0.089	0.471	0.477	1.026	1.436	2.432
D*/P	0.000	0.064	0.572	0.691	1.389	1.805	2.719
P1/P	0.000	0.096	0.503	0.480	1.035	1.454	2.532
P2/P	0.000	0.111	0.567	0.588	1.196	1.608	2.637
P3/P	0.000	0.127	0.585	0.557	1.172	1.615	2.733
P4/P	0.000	0.131	0.609	0.609	1.281	1.728	2.808
D1/P	0.000	0.073	0.590	0.638	1.319	1.743	2.793
D2/P	0.000	0.064	0.554	0.641	1.308	1.739	2.679
D3/P	0.000	0.076	0.598	0.638	1.323	1.752	2.823

accurate multiples (e.g., BV/P and SALES/P) have a less steep curve and more observations in the extremes compared to P1, EPS2 and ES2.

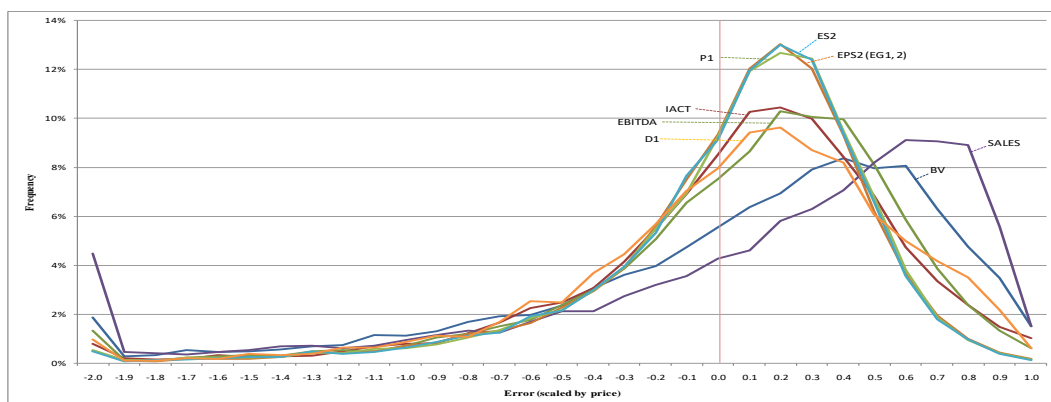


Figure 1. Distribution of pricing errors. The graph demonstrates the distribution of pricing errors for representative multiples. Multiples are estimated using the harmonic mean of firms from the same sector, and pricing errors are pooled across years. The multiples are as described in Table II. The more peaked distribution the multiple has around the zero vertical line, the more accurate it is. Horizontal axis represents pricing errors in every 10% scaled by price, and vertical axis represents the percentage of observations.

Among multiples using historical data, earnings multiples perform the best, followed by book value multiple, and sales multiple in descending order, consistent with Liu et al. (2002). Between earnings multiples, IACT/P that eliminate one-time transitory components outperforms EBITDA/P. Multiples based on enterprise value (i.e., EBITDA/TP and SALES/TP) perform worse than those based on equity value, although enterprise value is theoretically more appropriate for those value drivers.

Panel B of Table IV demonstrates the pricing errors for multiples using the harmonic mean of entire firms. Generally, errors are larger than those reported in Panel A. This is consistent with Alford (1992) and Bhojraj and Lee (2002) that comparable firms selected from the same sector contain better information than those from the cross-section. However, the rankings and patterns are still consistent with those in Panel A, similar to in the US. To be sure, the performances of EPS2, EG1 and EG2 are no longer same because cross-sectional sample is used for the comparable firms in Panel B: EPS2 and EG1 outperform EG2, and the differences between EPS2 and EG1 are negligible. P1 still places in the first group with EPS2, EG1, ES1 and ES2.

Figure 2 demonstrates the trend of interquartile ranges for multiples over time based on the results in Panel A. Consistent with the patterns in Figure 1, multiples are classified into three groups in general and their rankings are surprisingly consistent across the time even though their absolute values fluctuate. Two interesting findings are: (1) the performances of dividend models (i.e., D*/P and DDMs) deteriorate significantly over time: They are considered as one of the most accurate models before 1992, but become one of the least precise models in late 2000s. Surprisingly, this period coincides

with the changes in preferences for D/Y among financial analysts (Block (1999), Demirakos et al. (2004) and Imam et al. (2008)). Block (1999) explains the decreasing popularity of D/Y is due to its decreasing accuracy in estimation when the market is growing rapidly; and (2) when the market is overheated, the accuracy of valuation models decrease sharply. Specifically, the interquartile ranges increase significantly across multiples just before the dot.com boom in 2000, followed by a sharp drop when the boom ended. This pattern is consistent with the findings in Trueman et al. (2000) that traditional valuation models do not work appropriately during the market bubble period.

A Regression Measure

This paper employs a regression methodology whose performances are rarely tested in accounting literature despite its popular usage in practice. The results for multiples using a regression measure are reported in Table V: the overall rankings and patterns are consistent with those reported in Table IV, although there are some differences between them.

Comparing the interquartile ranges in Panel A and B of Table V, I discover some different trends from those observed in Table IV. The interquartile ranges of multiples based on the same sector firms are not always smaller than those of multiples based on the entire firms. This is evident especially for the multiples using historical values. In addition, SALES/P outperforms BV/P in Panel B, and EBITDA/P outperforms IACT/P. Despite these conflicting facts with those observed

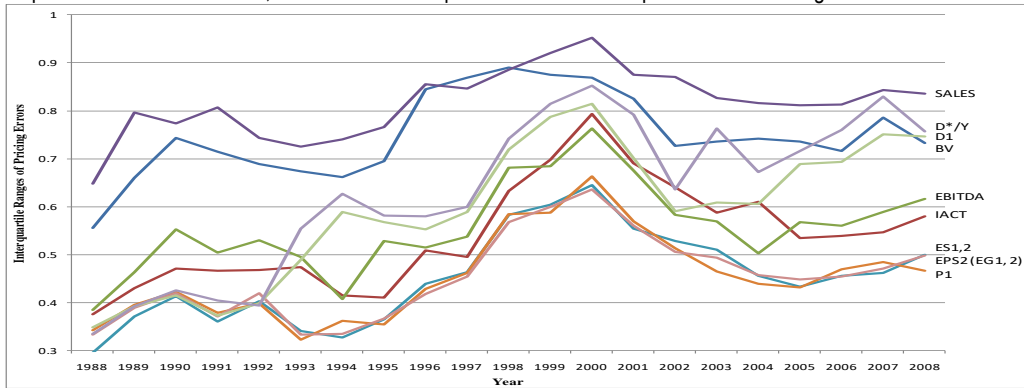


Figure 2. Interquartile ranges across time. Table V

Pricing Errors for Multiples using a Regression

The ordinary least squares (OLS) regression is used to estimate multiples. Comparable firms are based on either the same sector or the entire cross-section. Price estimations are measured as: $p_i = \beta x_i + \varepsilon_i$, and pricing error is $\frac{\varepsilon_i}{p_i} = \frac{p_i - \hat{p}_i x_i}{p_i}$.

Panel A: Multiples using Regression based on Firms from the Same Sector							
	Mean	Median	SD	Ranges			
				25%-75%	10%-90%	5%-95%	1%-99%
BV/P	0.094	0.266	0.744	0.694	1.460	2.022	3.258
IACT/P	0.040	0.126	0.591	0.572	1.202	1.686	2.814
EBITDA/P	0.061	0.184	0.666	0.563	1.182	1.670	3.166
SALES/P	0.169	0.420	0.863	0.717	1.532	2.242	4.207
EBITDA/TP	0.061	0.184	0.666	0.563	1.182	1.670	3.166
SALES/TP	0.169	0.420	0.863	0.717	1.532	2.242	4.207
EPS1/P	-0.025	0.059	0.501	0.526	1.105	1.519	2.584
EPS2/P	-0.075	0.028	0.519	0.517	1.094	1.582	2.704
EG1/P	-0.075	0.028	0.519	0.517	1.094	1.582	2.704
EG2/P	-0.075	0.028	0.519	0.517	1.094	1.582	2.704
ES1/P	-0.080	0.027	0.525	0.510	1.109	1.587	2.730
ES2/P	-0.079	0.026	0.523	0.509	1.106	1.574	2.709
D*/P	0.064	0.122	0.534	0.609	1.272	1.700	2.556
P1/P	-0.084	0.028	0.550	0.514	1.124	1.621	2.927

P2/P	-0.050	0.079	0.604	0.611	1.240	1.712	2.849
P3/P	-0.064	0.072	0.611	0.579	1.199	1.700	2.904
P4/P	-0.031	0.112	0.638	0.629	1.288	1.783	2.923
D1/P	0.009	0.080	0.572	0.604	1.307	1.772	2.888
D2/P	0.019	0.081	0.545	0.589	1.276	1.715	2.666
D3/P	0.008	0.080	0.577	0.606	1.312	1.776	2.918
Panel B: Multiples using Regression based on Firms from the Entire Cross-Section							
	Mean	Median	SD	Ranges			
				25%-75%	10%-90%	5%-95%	1%-99%
BV/P	0.142	0.317	0.731	0.680	1.404	1.914	3.236
IACT/P	0.096	0.186	0.634	0.543	1.157	1.578	2.702
EBITDA/P	0.138	0.264	0.675	0.537	1.108	1.569	2.989
SALES/P	0.224	0.490	0.904	0.633	1.459	2.232	4.585
EBITDA/TP	0.138	0.264	0.675	0.537	1.108	1.569	2.989
SALES/TP	0.224	0.490	0.904	0.633	1.459	2.232	4.585
EPS1/P	-0.002	0.089	0.501	0.521	1.122	1.556	2.605
EPS2/P	-0.062	0.048	0.522	0.524	1.127	1.604	2.729
EG1/P	-0.063	0.048	0.522	0.524	1.124	1.598	2.736
EG2/P	-0.044	0.074	0.544	0.542	1.167	1.640	2.809
ES1/P	-0.064	0.049	0.524	0.517	1.125	1.580	2.683
ES2/P	-0.064	0.049	0.522	0.517	1.120	1.580	2.680
D*/P	0.080	0.136	0.532	0.624	1.286	1.689	2.574
P1/P	-0.019	0.078	0.554	0.525	1.178	1.665	2.754
P2/P	-0.030	0.102	0.601	0.623	1.262	1.708	2.836
P3/P	-0.020	0.122	0.618	0.582	1.222	1.680	2.896
P4/P	0.005	0.150	0.622	0.619	1.281	1.746	2.874
D1/P	0.072	0.132	0.576	0.645	1.323	1.749	2.789
D2/P	0.035	0.096	0.544	0.609	1.279	1.718	2.654
D3/P	0.075	0.136	0.583	0.650	1.337	1.758	2.824

in Table IV, I still believe these adverse patterns are not significant because the standard deviations of them still follow the consistent trend for most multiples.

Another interesting result from Table V is the rankings of RIMs are different between Panel A and B. Panel A displays the same ranking as that observed in Table IV: P1 performs the best, followed by P3, P2, and P4 in decreasing order. However, the ranking in Panel B is P1, P3, P4, and P2 in descending order, changing the position between P4 and P2. These conflicting rankings show that the appropriateness of terminal values is dependent on circumstances such as methodologies or underlying assumptions, confirming the inference I drew previously.

Overall, multiples using a regression have larger pricing errors than those for multiples using the harmonic mean. Therefore, results in Panel A of Table IV, that have smallest pricing errors, are used for the sector rankings analysis and the time-series returns analysis.

Time-Series Returns Analysis

The second stage analysis employs 9,518 firm-years and covers 892 British firms from 1988 to 2007. Year 2008 prices are not used because I/B/E/S provides prices only up to March of 2008, which are not suitable to estimate year-end based annual returns. To measure the time-series returns for up to forthcoming five years (i.e., from T+1 to T+5), year 2003 to 2007 are not used as the target years.

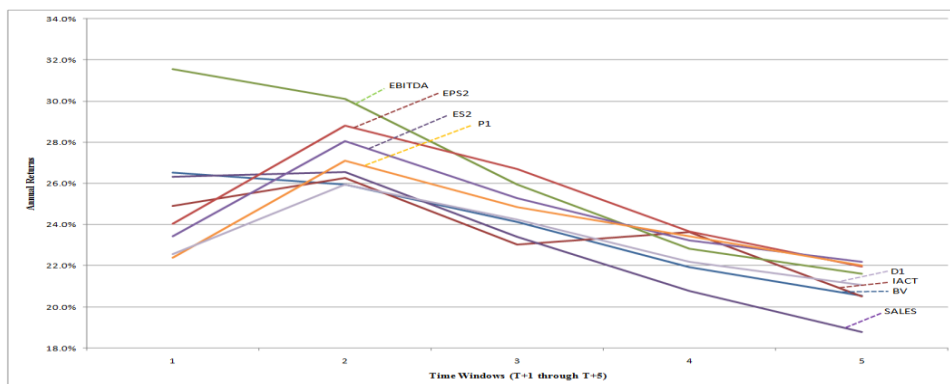
The summary of buy-and-hold returns is reported in Table VII and the detailed data are contained in appendix B. The most important and surprising result is the rankings of multiples between the pricing errors analysis and the time-series returns analysis are significantly consistent: Forward earnings multiples (including RIMs) performs the best, followed by IACT/P, EBITDA/P and dividend models, placing BV/P third and SALES/P last. However, one interesting finding is that P2, P3 and P4 perform similar to P1 or other forward earnings multiples in the time-series returns analysis, contrary to the results in the pricing errors analysis. This indicates RIM delivers similar performance to that of forward earnings multiples in terms of returns generation, but its accuracy varies depending on its terminal value assumptions. **Table VII**

Buy-and-Hold Time-Series Returns

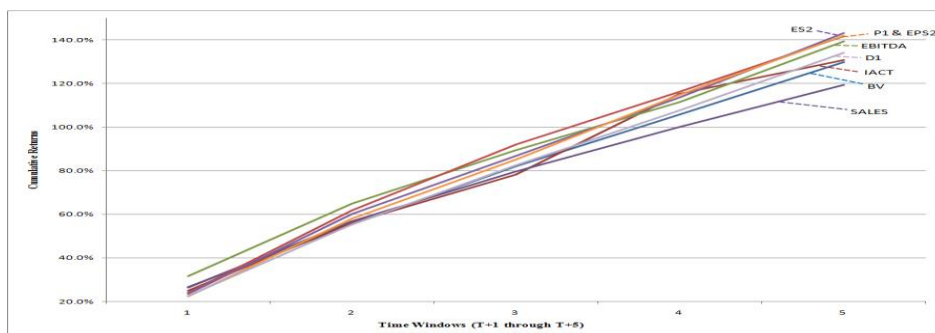
A quintile based buy-and-hold returns are used across up to five years: buying stocks in the top quintile and short-selling stocks in the bottom quintile. Quintiles are generated based on pricing errors for multiples that use the harmonic mean of firms from the same sector.

Panel A: Mean of Buy-and-Hold Returns										
	Annual					Cumulative				
	T+1	T+2	T+3	T+4	T+5	T+1	T+2	T+3	T+4	T+5
BV	26.5%	26.0%	24.1%	21.9%	20.5%	26.5%	55.4%	82.0%	105.8%	130.0%
IAC	24.9%	26.3%	23.0%	23.6%	20.5%	24.9%	56.1%	78.3%	115.3%	130.9%
EBITDA	31.5%	30.1%	25.9%	22.8%	21.6%	31.5%	64.8%	89.5%	111.6%	139.5%
SALES	26.3%	26.6%	23.4%	20.8%	18.8%	26.3%	56.7%	79.7%	100.1%	119.4%
EBITDA/TP	29.6%	29.6%	26.1%	23.5%	22.2%	29.6%	63.7%	89.8%	114.9%	144.2%
SALES/TP	25.7%	26.1%	23.3%	20.7%	18.9%	25.7%	55.7%	79.2%	99.6%	120.5%
EPS1	25.7%	28.0%	25.1%	23.3%	21.6%	25.7%	59.9%	86.3%	113.5%	138.0%
EPS2	24.0%	28.8%	26.7%	23.7%	21.9%	24.0%	61.9%	92.1%	116.3%	141.8%
ES1	22.6%	27.3%	25.1%	23.9%	22.9%	22.6%	58.4%	85.8%	116.8%	147.6%
ES2	23.4%	28.1%	25.3%	23.2%	22.2%	23.4%	60.2%	86.8%	113.7%	143.3%
D*/P	24.1%	26.7%	24.0%	21.7%	20.9%	24.1%	57.0%	81.7%	104.5%	132.3%
P1	22.4%	27.1%	24.9%	23.4%	22.0%	22.4%	58.0%	85.1%	114.8%	142.0%
P2	25.9%	27.5%	26.2%	24.1%	22.6%	25.9%	58.9%	90.1%	118.4%	145.8%
P3	24.9%	27.3%	25.7%	23.7%	22.7%	24.9%	58.5%	88.1%	115.7%	146.8%
P4	25.5%	27.0%	26.3%	23.9%	22.4%	25.5%	57.9%	90.5%	117.2%	144.8%
D1	22.5%	26.0%	24.2%	22.2%	21.1%	22.5%	55.3%	82.6%	107.6%	134.3%
D2	24.0%	26.1%	24.4%	22.8%	21.6%	24.0%	55.7%	83.1%	110.9%	138.2%
D3	22.5%	25.9%	24.2%	22.1%	21.0%	22.5%	55.1%	82.5%	107.1%	133.4%
Panel B: Median of Buy-and-Hold Returns										
	Annual					Cumulative				
	T+1	T+2	T+3	T+4	T+5	T+1	T+2	T+3	T+4	T+5
BV	2.0%	4.5%	5.6%	6.8%	6.5%	2.0%	9.6%	19.4%	32.2%	39.9%
IAC	1.5%	3.8%	7.0%	8.8%	5.7%	1.5%	8.1%	24.0%	41.4%	37.1%
EBITDA	6.1%	6.8%	8.7%	7.7%	6.7%	6.1%	14.4%	29.7%	37.2%	42.8%
SALES	1.7%	4.1%	5.6%	5.2%	5.6%	1.7%	8.8%	19.8%	26.5%	36.9%
EBITDA/TP	5.6%	6.8%	8.6%	8.2%	6.7%	5.6%	14.4%	29.2%	39.5%	42.8%
SALES/TP	1.0%	3.9%	5.6%	5.1%	5.4%	1.0%	8.4%	19.6%	25.7%	35.7%
EPS1	2.2%	5.1%	7.3%	8.2%	7.0%	2.2%	10.7%	25.1%	38.6%	43.1%
EPS2	2.3%	5.5%	8.6%	8.7%	6.9%	2.3%	11.6%	29.3%	41.5%	43.1%
ES1	1.6%	4.4%	7.5%	8.3%	7.9%	1.6%	9.3%	25.0%	38.1%	47.4%
ES2	1.5%	4.3%	7.4%	8.4%	7.3%	1.5%	9.2%	25.3%	39.7%	44.6%
D*/P	-1.3%	2.1%	4.0%	5.6%	4.8%	-1.3%	4.8%	14.3%	26.8%	30.5%
P1	0.8%	3.8%	7.0%	8.5%	7.2%	0.8%	8.2%	23.8%	40.4%	44.3%
P2	2.2%	4.9%	7.1%	8.4%	7.7%	2.2%	10.4%	24.3%	40.4%	48.3%
P3	2.0%	4.3%	7.6%	8.2%	7.1%	2.0%	9.3%	26.1%	39.2%	44.5%
P4	1.6%	5.1%	7.5%	8.0%	7.4%	1.6%	10.9%	25.6%	38.5%	46.7%
D1	-1.0%	1.4%	4.3%	6.2%	5.8%	-1.0%	3.3%	15.3%	29.8%	36.0%
D2	-0.9%	2.4%	4.7%	7.1%	6.1%	-0.9%	5.3%	16.4%	33.7%	38.0%
D3	-1.0%	1.1%	4.1%	6.1%	5.7%	-1.0%	2.6%	14.7%	29.2%	35.9%

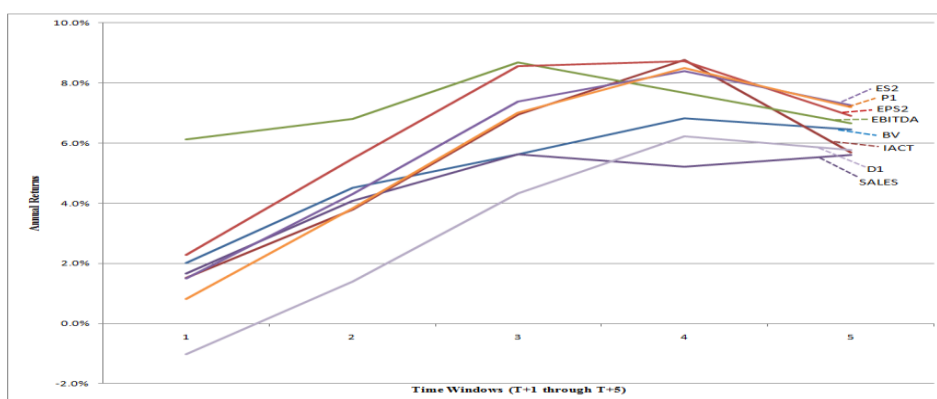
Panel A: Annual mean buy-and-hold returns



Panel B: Cumulative mean buy-and-hold returns

**Figure 4. Mean buy-and-hold returns.**

Panel A: Annual median buy-and-hold returns



Panel B: Cumulative median buy-and-hold returns

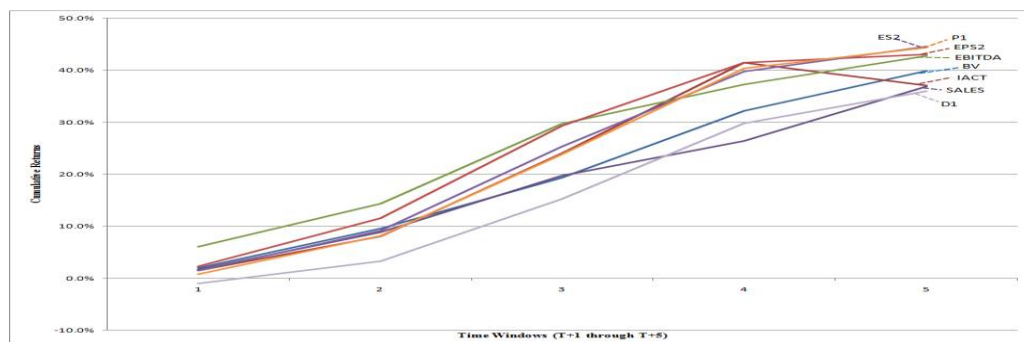


Figure 5. Median buy-and-hold returns.

Conclusions

The research is motivated by the conflicting preferences for equity valuation models in accounting and finance field. It aims to answer one main question: can the superior models in accounting field be superior in finance field? This means whether the rankings of models in pricing errors terms are consistent with those in time-series returns terms. To match the rankings of models in two different terms, I conduct two different analyses – pricing errors analysis and time-series returns analysis – for various multiples.

The most important finding in this paper is the rankings of multiples in both analyses are significantly consistent: Forward earnings multiples including P1/P performs the best, followed by historical earnings multiples, and DDMs for the third, leaving BV/P and SALES/P at the end. The consistent rankings indicate that the findings in accounting research have practical implications to analysts and investors. One exception is the rankings of the other RIMs (i.e., P2, P3 and P4): they perform considerably worse than P1 in the pricing errors analysis, however, their performances are similar to P1 or other forward earnings multiples in the time-series returns analysis. This implies residual income model produces similar performance to that of forward earnings multiples in terms of returns generation, but its accuracy varies depending on its terminal value assumptions. The main difference between the UK and the US in pricing errors analysis is the rankings of multiples are rather grouped than separated individually, even though overall rankings of individual multiples are consistent. This pattern is observed throughout the research for UK firms. In the sector rankings analysis, I find the consistent rankings that forward earnings multiples including P1 dominate the top four places across sectors. However, the specific rankings between those models within the group change depending on sectors so it is hard to say which one is the best.

In the time-series returns analysis, two interesting findings are observed: (1) short-selling strategy tends to rely on a relatively small number of extreme returns, resulting in positive mean returns between 5% and 13% per annum and negative median returns between -0.6% and -6.5%. This indicates more than half of short-selling investments actually generate negative returns so it might be more profitable in general if the strategy is not used; and (2) buy-and-hold returns tend to generate the most reliable annual returns between T+2 and T+4. This time period is exactly identical with the period that value investment strategy produces its highest annual returns, contrary to momentum strategy that generates its highest returns within one year. This corresponding period is reasonable because buy-and-hold strategy is basically the same as value investment strategy. This paper is unable to answer what are the main factors that improve or deteriorate the performances of residual income models. I leave the answer to this question to future research.

References

- [1] Arnold, John, and Peter Moizer, 1984, A survey of the methods used by UK investment analysts to appraise investments in ordinary shares, *Accounting and Business Research* 14, 195-207.
- [2] Baker, Malcolm, and Richard S. Ruback, 1999, Estimating industry multiples, Working paper, Harvard University.
- [3] Barker, Richard G., 1999a, Survey and market-based evidence of industry-dependence in analysts' preferences between the dividend yield and price-earnings ratio valuation models, *Journal of Business Finance and Accounting* 26, 393-418.

-
- [4] Barker, Richard G., 1999b, The role of dividends in valuation models used by analysts and fund managers, *European Accounting Review* 8, 195-218.
 - [5] Bernard, Victor L., 1995, The Feltham-Ohlson framework: Implications for empiricists, *Contemporary Accounting Research* 11, 733-747.
 - [6] Biddle, Gary C., Robert M. Bowen, and James S. Wallace, 1997, Does EVA beat earnings? Evidence on associations with stock returns and firm values, *Journal of Accounting and Economics* 24, 301-336.
 - [7] Block, Stanley B., 1999, A study of financial analysts: Practice and theory, *Financial Analysts Journal* 55, 86-95.
 - [8] Bradshaw, Mark T., 2002, The use of target prices to justify sell-side analysts' stock recommendations, *American Accounting Association* 16, 27-41.
 - [9] Brav, Alon, John R. Graham, Campbell R. Harvey, and Roni Michaely, 2005, Payout policy in the 21st century, *Journal of Financial Economics* 77, 483-527.
 - [10] Copeland, T., Tim Koller, and Jack Murrin, 2000, *Valuation: Measuring and Managing the Value of Companies* (John Wiley and Sons, New York).
 - [11] Courteau, Lucie, Jennifer L. Kao, and Gordon D. Richardson, 2001, Equity valuation employing the ideal versus ad hoc terminal value expressions, *Contemporary Accounting Research* 18, 625-661.
 - [12] Demirakos, Efthimios G., Norman C. Strong, and Martin Walker, 2004, What valuation models do analysts use?, *Accounting Horizons* 18, 221-240.
 - [13] Dimson, Elroy, Paul Marsh, and Mike Staunton, 2006, The worldwide equity premium: A smaller puzzle, Working paper, London Business School.
 - [14] Fama, Eugene F., 1970, Efficient capital markets: A review of theory and empirical work, *Journal of Finance* 25, 383-417.
 - [15] Firth, M., 1976, The impact of earnings announcements on the share price behavior of similar type firms, *Economic Journal* 86, 296-306.
 - [16] Forker, John, and Ronan Powell, 2008, A comparison of error rates for EVA, residual income, GAAP-earnings and other metrics using a long-window valuation approach, *European Accounting Review* 17, 471-502.
 - [17] Frankel, Richard, and Charles M. C. Lee, 1998, Accounting valuation, market expectation, and cross-sectional stock returns, *Journal of Accounting and Economics* 25, 283-319.
 - [18] Gode, Dan, and James A. Ohlson, 2006, A unified valuation framework for dividends, free-cash flows, residual income, and earnings growth based models, Working paper, New York University and Arizona State University.
 - [19] Goedhard, Marc, Timothy Koller, and David Wessels, 2005, The right role for multiples in valuation, *McKinsey on Finance* 15, 7-11.
 - [20] Imam, Shahed, Richard Barker, and Colin Clubb, 2008, The use of valuation models by UK investment analysts, *European Accounting Review* 17, 503-535.
 - [21] Kaplan, Steven N., and Richard S. Ruback, 1995, The valuation of cash flow forecasts: An empirical analysis, *Journal of Finance* 50, 1059-1093.
 - [22] Kim, Moonchul, and Jay R. Ritter, 1999, Valuing IPOs, *Journal of Financial Economics* 53, 409-437.
 - [23] Lee, Charles M. C., James Myers, and Bhaskaran Swaminathan, 1999, What is the intrinsic value of the Dow?, *Journal of Finance* 54, 1693-1741.
 - [24] Liu, Jing, Doron Nissim, and Jacob Thomas, 2002, Equity valuation using multiples, *Journal of Accounting Research* 40, 135-172.
 - [25] Nissim, Doron, and Stephen H. Penman, 2001, Ratio analysis and equity valuation: From research to practice, *Review of Accounting Studies* 6, 109-154.
 - [26] Palepu, Krishna G., Paul M. Healy, Victor L. Bernard, and Erik Peek, 2007, *Business Analysis and Valuation, IFRS Edition* (Cengage Learnings EMEA, London).
 - [27] Penman, Stephen H., 1996, The articulation of price-earnings ratios and market-to-book ratios and the evaluation of growth, *Journal of Accounting Research* 34, 235-259.
 - [28] Penman, Stephen H., 1998, A synthesis of equity valuation techniques and the terminal value calculation for the dividend discount model, *Review of Accounting Studies* 2, 303-323.
 - [29] Penman, Stephen H., 2009, *Financial Statement Analysis and Security Valuation* (McGraw-Hill, Europe).

Re-Questioning Green Architecture in Egypt: A Need, a Movement or a Style?

Karim Kesseiba

Faculty of Engineering, Architecture Department, Cairo University

Abstract

Green architecture is considered the contemporary architectural paradigm. Amid threats of the lack of non-renewable energy, the calls for environmental sustainability and sustainable development, being 'green' is becoming an aspiration as well as a threat for many architects. Architects to a wide extent are required to adopt one sort of being 'green' in their contemporary additions to the built environment. However, very limited differentiations are subjected to the difference between 'sustainable architecture', 'environmentally-friendly architecture', and 'green architecture'. This is one side of the debate; however, the most important side is, whether this new trend in contemporary Egyptian architecture is a need, a movement, or merely a style. The other important query is whether 'sustainable architecture' is becoming a commodity to fulfill international claims regardless of how it is implemented. In order to answer those questions, the paper first presents the differences between notions of 'green architecture', 'sustainable architecture' and 'environmentally-friendly architecture' and based on literature review as well as observations from international precedents. Afterwards, those three notions are explored and analyzed in the Egyptian context to understand where precisely the claimed sustainable or environmentally friendly buildings in Egypt stand in relation to the outcomes of the literature review. Finally, the need for following those notions in Egypt are re-questioned, in order to explore whether the claims for sustainability are becoming a commodity, especially in the shadows of the misuse of previously discussed slogans.

Keywords: Commodity in architecture, Green architecture, Sustainable architecture in Egypt.

1. Introduction

The paper aims to explore the state of contemporary architecture in Egypt based on a group of common concepts and ideologies related to environmental architecture. In order to do so, the paper follows a methodology primarily based on literature review of the concepts of "green architecture", "sustainable architecture" and "environmentally-friendly architecture". Following that two cases of the local attempts are analyzed based on the main concepts and strategies of each case. A final discussion is then presented to re-question the state of the selected cases in the analysis according to the definitions explored previously. This helps in drawing a better conclusion for the paper to pinpoint the needed achievements related to the built environment in Egypt.

Literature Review: Definitions Related to Study

This part explores the terms "green architecture", "sustainable architecture" and "environmentally-friendly architecture". The aim of this part of the literature review is to understand the broad concepts related to environmentalism as a dominant architectural concept. Thus, this will aid in evaluating the Egyptian experience in this field, based on points of analysis to be summarized at the end of the definitions debate.

2.1. Green Architecture

As Raof (2011) presents, the shift towards green design was initiated strongly in the 1970s and was a "pragmatic response to higher oil prices". It was then that the first of the oil shocks, in 1973, increased fossil fuel prices to an unprecedented extent, and the 'futurologists' began to look at the remaining resources to estimate the future of energy consumption on Earth, (p. 1). Accordingly, this point of initiation of the 1970s resulted in the rise of what was called the solar house movement; homes built to use clean renewable energy from the sun, (p. 5).

As a matter of fact, many scholars explored how in Architecture there are many ways a building may be "green" and respond to the growing environmental problems of the planet. From those are Ghani (2001), who presented the five basic areas of an environmentally oriented design. Those scopes are "Healthy Interior Environment", "Energy Efficiency", "Ecological Building Materials", "Building Form" and "Good Design".

Those five scopes are further explained as follows by Ghani (2001); "Healthy Interior Environment" is related to how well insure the building materials and systems used do not emit toxic unhealthy gases and substances in the built spaces. Further extra cars and measures are to be taken to provide maximum levels of fresh air and adequate ventilation to the interior environment. As to "Energy Efficiency", it is related to ensuring that the building's use of energy is minimized. This includes various HVAC systems and methods of construction as well, which are to be designed to minimize energy consumption. The "Ecological Building Materials" aims to provide the use of building materials from renewable sources and having relatively safe sources of production. As to the "Building Form", this is essential to respond to the site, region, climate and the materials available thereby generating a harmony between the inhabitants and the surroundings. Finally, "Good Design" aims to provide both "Structure and Material" and "Aesthetics" are the basic attributes of defining design. They should be so integrated that the final outcome is a well built, convenient and a beautiful living space, Ghani (2001, pp. 21-22).

2.2. Sustainable Architecture

One of the most debatable concepts which emerged lately, especially with relevance to architecture is the terminology of "sustainability" and "sustainable architecture". Thus, the vagueness of the word "sustainable" makes the term "sustainable architecture" equally vague and ambiguous. There are different dimensions of sustainability; economic, political, social, or environmental, while we have to take into consideration that what is "sustainable" for one group is not necessarily sustainable for another as Hagan (2001, p. 3) exposes.

The literal interpretation of the words "sustainable environment" as Milosevic (2004) presents is the creation of an environment for human occupation, performance and the support of life to which sustenance or nourishment is continuously given, (p. 91). This includes the more wide dimension of sustainability as "meeting the needs of the present without compromising the ability of future generations to meet their own needs", (p. 92).

This more well-known definition is associated with modifying patterns of development and consumption to reduce demand on natural resource supplies and help preserve environmental quality. Achieving greater sustainability in the field of construction is particularly important, because building construction consumes more energy and resources than any other economic activity. Not only does a home represent the largest financial investment a family is likely to make, but it also represents the most resource- and energy-intensive possession most people will ever own. Making homes more sustainable, then, has a tremendous potential to contribute to the ability of future generations to meet their own needs. Thus as Ghani (2001) explains, specifically sustainable housing design is a multifaceted concept, embracing major concepts such as : "Affordability", "Marketability", "Appropriate design", "Resource efficiency", "Energy efficiency", "Durability", "Comfort" and "Health", (pp. 23-24).

Guy and Farmer also classified sustainable architecture under six different categories based on the main logic and methods as: eco-technic, eco-centric, eco-aesthetic, eco-cultural, eco-medical and eco-social. One or more logic can be found in a sustainable architecture according to the main environmental problem. Definition of "sustainable" for an architecture changes depends on the logic. "Eco-technic" logic defines sustainable architecture as energy-sufficient architecture placing importance to the development of technology while in "eco-centric logic" sustainable architecture is considered to be an architecture that is a part of nature through using natural materials and has zero ecological footprint. Sensuous, stylish and creative qualities make the green architecture as sustainable for "eco-aesthetic" logic. On the other side, architecture creating "healing environment" and supporting the healthy lifestyle of the people is considered as sustainable within eco-medical logic. Also, there is an eco-social logic defining the architecture that embodies the spirit of the society, freedom and togetherness as sustainable, (pp. 262-263).

2.3. Environmentally-Friendly Architecture

The term "environmentally friendly architecture" is primarily related to energy efficiency and energy economics. Taking into consideration the inter-relation of architecture with both art and science, limiting architecture to environmentally- friendly aspects limits architecture to science, technology and economics. This is related to affecting the architect's choice to the

degree to which energy efficiency and economy of means are a greater priority than any of the others involved in the design process as Hagan (2001) exposes. If they are the most important consideration, then the architecture will inevitably reflect its supremacy in configuration, in choice of materials, in techniques and technologies employed (pp. 4-5).

As a matter of fact, the environment is more than just the biosphere, into which we should adapt to or totally ignore. It is also the 'built environment', a cultural as well as a physical entity. Thus, the most debatable question remains whether architects pursuing sustainability can afford to address only the environmental aspect of the built environment when it is qualitative as well as quantitative? Architects view 'environmental architecture', like 'green architecture' before it, as part of yet another 'back to nature' movement in which we all weave our own clothes and villages. For such skeptics, 'environmental architecture' connotes a narrowing of horizons, an abdication of ambition and imagination, and a self-imposed restriction to a palette of twigs and thatch as Hagan (2001) questioned, (p. 11).

2.4. Summarizing the Definitions:

The table below, (table 1) summarizes the main definitions explored in the previous part based on different scholars' reviews, to aid in the classification of the Egyptian Architectural experience related to environmentalism. The table also highlights the main aspects of analysis related to each concept to be used in the analytical part.

It is important to review the theoretical debate reflecting on sustainable development, in order to provide a wider scope of understanding of the issue. According to Jabrren (2008), the definitions of sustainable development are vague, and in order to understand the debates stemming from sustainable development, it is important to highlight some concepts. The concepts are related to the concept of ethical paradox, the concept of natural capital stock, the concept of equity, the concept of eco-form, the concept of integrative management, the concept of utopianism and finally the concept of political global agenda.

In relation to this discussion which will be more elaborated in the case studies analysis, Guy and Moore (2007), discuss that pluralism is related to the understanding of pluralism. For them, "Environmentalism" is simply a convenience, a vague label for an amazingly diverse array of ideas that have grown around the contemplation of the relationship between human beings and their surroundings. Stemming from the paradoxical debate regarding sustainability, with special reference to the Egyptian context, El-Husseiny (2011) presented how the sustainability experience in Egypt is bounded between two ends; the first is the "traditionalist" approach, claiming vernacular architecture to be the most sustainable environmentally as well as socially, and the second is the race for a LEED certificate, which became a strong marketing tool for multi-national corporates' headquarters. The environmentally friendly approach will be the main focus of the case studies analysis discussed below, which will help provide a better understanding for the current case of environmentally sustainable attempts.

Analysis of The Egyptian Experience in Environment-oriented Architecture

This part is concerned with exploring and analyzing the Egyptian architecture experience in the attempts towards implementing agendas related to environmentalism, either through governmental initiatives or through individual architects' works. The two selected examples are the Green Pyramid Rating System, which was elaborated as building regulations by the government, but still not applied on a wide scale and the other case is the vernacular architecture projects related to Hasan Fathy's school in architecture. The analysis aims to cover the main concepts and initiatives in each case, followed by a categorization of each attempt according to the previously discussed literature review. The outcomes of the analysis pinpoint the current state of the Egyptian trials to attain environmental architecture either as a way to promote architecture or real trials aiming to provide better environment.

3.1. The Green Pyramid Rating System in Egypt:

The Green Pyramid Rating System (GPRS) is a national environmental rating system for buildings. It provides specific criteria by which the environmental credentials of buildings can be evaluated, and the buildings themselves can be rated (The Green Pyramid Rating System, First Edition 2011). It was drafted by the Housing and Building Research Centre (HBRC) in conjunction with the Egyptian Green Building Council (EGBC) in 2010, and the first edition was made available for public review in April 2011. The GPRS provides 4 levels of certification depending on score of the project in the weighted factors; 'Certified', 'Silver Pyramid', 'Gold Pyramid' and 'green pyramid'.

This rating system aims to evaluate the buildings newly added to the Egyptian environment according to a group of aspects. This rating system was supposed to be implemented and widely elaborated as a building code for all new additions to the built environment. However, its application is not yet achieved. The delay in implementation led to the neglecting of those regulating aspects especially in the urban development boom Egypt is witnessing nowadays, since there is no regulating law for the creation of more environment- friendly buildings. On another side, this rating system was criticized for not adding any new aspects of achievement other than the already applicable LEED rating system. Thus, firms in Egypt aiming to provide a social responsibility towards the environment prefer to achieve LEED certificates.

As a matter of fact, spreading green architecture in Egypt requires reshaping the current legislations and codes. This starts by revising the existing local building laws and regulations. Numerous parts of the Unified Building Law no.119 released in 2008, and its executive appendix released by the Ministerial decree no. 144 in 2009, show negligence of important green concepts. However, many of these concepts were considered in the Green Pyramid Rating System (GPRS) public review edition released by the Egyptian Green Building Council (EGBC) –which was established the same year the Unified Building Law was released- and the Housing and Building Research Centre (HBRC) in April 2011, but with no specific schedule for releasing the final rating system or a timeline for enforcing it. This schism in building legislation policies makes it difficult to determine the right strategy for spreading green architecture in Egypt. (p. 60).

However, the drawbacks are that GPRS documentation does not specify any timeline for its enforcement although it described itself as legislation and although it describes the application of its contents as urgent. These negative aspects are mainly because the GPRS was made as a project for a legislation that is still under analysis and public review. However, the seriousness of the issue it addresses should have motivated the law and code makers to refer to it and give incentives for its application. (p. 63)

The GPRS has a hierarchy of scores, which are: (strong > 70% - medium > 50% -weak >50%), assigned according to the extent of application of rating criteria, which includes:

1. Site sustainability
2. Energy efficiency
3. Water efficiency (minimization and efficiency of water use)
4. Resources and construction materials
5. Indoor environment quality (ventilation and lighting quality, acoustics control)
6. Innovation, inventiveness and flexibility of management and maintenance
7. Reduction of pollution and recycling of waste.

All the above aspects are used in the following equation to calculate the overall percentage of Green Pyramid criteria met: total percentage of criteria met / the number of criteria. (pp. 13-14) In addition to this, The Green Pyramid Rating System is designed for use in new building works. The Rating can be used to assess individual new buildings at either or both of the following stages: at the Design Stage or at Post-Construction Stage. It will be mandatory for applicants wishing for a Green Pyramid assessment at Post-Construction stage to have first undergone a Green Pyramid assessment at Design Stage, (pp. 7-8). The table, (table 2) shows the relative weight of each aspect of the evaluating criteria.

To earn Green Pyramid certification a project must satisfy all the stated Mandatory Minimum Requirements and may obtain Credit Points by meeting certain criteria. Projects will be rated, based on Credit Points accumulated, according to the following rating system:

- GPRS Certified: 40–49 credits
- Silver Pyramid: 50–59 credits
- Gold Pyramid: 60–79 credits
- Green Pyramid: 80 credits and above

Projects with less than 40 credits will be classified as 'Uncertified'.

3.2. Vernacular Architectural Attempts in Egypt as Environmentalism Experience:

This part is concerned with exploring the Egyptian architects' attempts in implementing vernacular architecture as a means of an environmental approach. The pioneer architect who initiated this movement was Hasan Fathy, through his projects

calling for the cultural sustainability, continuity of space characteristics and the use of local materials and proper responses to nature through his projects in Goruna and other vernacular attempts in Egypt.

New Gournia Village (fig. 1) is seen as a reinterpretation of a traditional urban and architectural setting by Hassan Fathy who is an early visionary of sustainable architecture. It provides sustainability both in culture through use of local materials and techniques and in environment with its extraordinary sensitivity to climatic problems. It is an outstanding example of the integration of vernacular technology with modern architectural principles. Fathy brought back the use of mud brick (adobe) and with special techniques keep building cooler during the day and warmer during the night. Fathy believed that architecture was about bridging the gap between new architectural techniques and older techniques. These older techniques are sustainable and energy efficient, helping the villagers to reduce their reliance on modern technologies, which are not only expensive, but have negative effects on their culture and environment.

Based on Hasan Fathy's approach to architecture, architects like Ramy El-Dahan and Soheir Farid provided a continuation of his attempts to build with adobe, yet devoid of the cultural and social aspects of sustainability advocated by Fathy. Both architects used those techniques in touristic resorts in Gouna, as a sort of providing a new brand for architectural excellence. As a matter of fact, what initiated as "Architecture for the Poor" was transformed into "Architecture for the Rich", (fig.2).

Another important attempt for the re-interpretation of Fathy's attempts is the work by ECCA, "The Egyptian Earth Construction Association", a group of Egyptian architect's whose work was focused in Sinai, to re-adapt the local building techniques and traditions in a contemporary way of building. Their most acknowledged project was a Visitors Center in "Wadi el Gemal", a natural preservative in Marsa Alam (fig. 3), in which all building materials and techniques were derived from the direct context.

The Visitors' Center serves two main functions, first is orienting visitors and disseminating essential information about the park's nature and inhabitants (Ababda tribes) through maps, brochures, tours, audio/visual and interpretive presentations of the surrounding features (Wadies, Mountains, Coast, Reefs, Fauna and Flora). The main purpose of the facility is to increase Visitors' appreciation of, and sensitivity to, the distinctive natural, environmental and cultural resources of the area, and to aid the Egyptian Environmental Affairs Agency in securing the sustainable use of the bountiful assets of the region. Also, reception and welcoming pit-stop, that is predominantly open, serves basic Visitors's' needs such as refreshments, local crafts. In addition, it houses office space, a store room and provides ample uncovered parking at its front entrance. Restrooms are housed in a separate annex .

The Visitors' Center introduced in its composition the same materials used by the nomadic Ababda tribes in erecting their houses, the Bersh, the sole indigenous structure in the region. Living in a predominantly arid climate, the Ababda use local acacia tree branches as structural columns, sheet metal obtained from barrel drums and particle board as roofs and walls, in addition to woven palm tree leave mats to protect their homes from the elements. The building used local igneous Basalt stone quarried by the local Ababda tribes from nearby mountains as the main construction material for foundations, walls and columns. The prevalent architectural element that hovers over the building and conveys its main character while astutely protecting its spaces; is a large corrugated sheet metal roof covering a latticework of wooden trusses supported by thick stone bearing walls and columns. Underneath this roof a second ceiling made of modular palm tree midrib panels and wooden beams shelters the exhibition space. This double roof system, a main architectural concept, allows for the free permeation of air, thus, dissipating the heat of the desert direct sunlight. The thick bearing stone walls while acting as a latent mass for the enclosed exhibit space also shields the outdoor space from the strong prevailing northwest winds creating a comfortable shaded area through which Visitors can move freely. Openings are screened with rough tree branches to filter light.

Discussion: Questioning the Commodification of Sustainable Architecture in Egypt

At the beginning of the twentieth century, Le Corbusier warned, 'architecture or revolution'. At the end of the century, we know 'architecture' doesn't have the power to be an equivalent term to 'reform'. So we can't say in the current context, 'architecture or pollution'. The ideas developed in architecture and discussed in this paper as definitions and attempts by local Egyptian architects for the benefit of the built environment won't 'save the world', but they may help save the built environment. In so doing, architectural practice could regain a moral and practical authority it hasn't had, (Hagan, 2001, p. 15).

This is important to reflect upon in our discussion, since what the paper aimed to discuss primarily was whether the Egyptian attempts are serious enough to attain change in the built environment. The first discussed case was the Green Pyramid Rating System, which showed to be very much focused and inter-related with the concepts of "Green Architecture" and "Environmentally-Friendly Architecture", however, as mere conceptual agendas without any applicable attempts derived.

The second experience discussed, related to individual architects' trials to provide environment sensitive architecture, were mostly 'sustainable architecture' attempts, however, on a limited scale, without generalization on the scale of national projects. Those attempts also touched upon the issues of material sustainability, without much focus on the other aspects of sustainable architecture. Also, those attempts were at times used as a marketing and branding tool to promote for economic projects. Accordingly, the actual achievement of any of the previously discussed concepts of environmental architecture is still very limited in the Egyptian context, lacking laws and regulations primarily as well as general awareness among architects.

Conclusion

The paper presented a review of the current state of environmental architecture in Egypt based on the selected definitions explored in the literature review. The outcomes of the paper were to answer the re-questioning of the need of adopting more serious attempts towards environment sensitive architecture. The cases used in the analytical part showed the gap between the governmental attempts and the individual attempts by architects. Thus, the need is not re-categorize or re-define the Egyptian experience, but actually to provide a totalitarian agenda focused on the real needs of the built environment in Egypt.

References

- [1] Ayyad, K. and Gabr M. (2012). Greening Building Codes in Egypt. *Sustainable Futures, Architecture and Urbanism in the Global South*, pp. 60-69.
- [2] El-Husseiny, M. (2011). The Commodification of Sustainable Architecture In Egypt. *Lonaard Magazine*, (7), 2, London.
- [3] Ghani, F. (2012). Issues in Sustainable Architecture and Possible Solutions. *International Journal of Civil & Environmental Engineering*, 12: 1, 21-24.
- [4] Guy, S. and Moore, S. (2007). Sustainable Architecture and the Pluralist Imagination. *Journal of Architectural Education*, pp. 15-23.
- [5] Hagan, S. (2001). *Taking Shape: A New Contract between Architecture and Nature*. Oxford. Architectural Press.
- [6] Jabreen, Y. (2008). A new conceptual framework for sustainable Development. *Environ Dev Sustain* (2008) 10:179-192. DOI 10.1007/s10668-006-9058-z.
- [7] Kultur, S. (2012). Role of Culture In Sustainable Architecture. *Archi-Cultural Translations through the Silk Road 2nd International Conference Proceedings*. Japan, pp. 262-267.
- [8] Milosevic, P. (2004). The Concept and Principles of Sustainable Architectural Design for National Parks in Serbia. *SPATIUM*, pp. 91-105.
- [9] Raof, S. (2001). *Ecohouse: A Design Guide*. Oxford. Architectural Press.
- [10] The Green Pyramid Rating System, (GPRS), Online Report.

Tables:

Table 1. Main Concepts and Analysis Aspects Extracted from the Literature Review.

	Green Architecture	Sustainable Architecture	Environmentally-Friendly Architecture
Definition	Architecture focusing on the use of renewable energy with lesser dependency on fuel and petroleum.	The creation of an environment for human occupation, performance and the support of life to which sustenance or nourishment is continuously given.	The creation of architecture related to energy efficiency and energy economics.
Points of Analysis		Affordability. Marketability. Appropriate design.	Energy Efficiency. Energy Economics in the design process.

		Resource efficiency. Energy efficiency. Durability. Comfort. Health.	
--	--	--	--

Table 2. Green Pyramid Categories and Weighting.

Green Pyramid Category	Category Weighting
Sustainable Site, Accessibility, Ecology	15%
Energy Efficiency	25%
Water Efficiency	30%
Materials and Resources	10%
Indoor Environmental Quality	10%
Management	10%
Innovation and Added Value	Bonus

Figures:

Fig. 1 – New Gurna Village by Hasan Fathy



Fig. 2 – Gouna Resorts by Ramy El-Dahan



Fig. 3 – Wadi El-Gemal Tourists Center

Mobilizing Skin Care: Measuring and Tracking External Conditions with Light Emitting Diodes

Stephen J McNeill

Kennesaw State University, USA

Abstract

Light emitting diode (LED) technology allows users to monitor their indoor and outdoor environments while engaged in various tasks. LED has long been touted for its direct benefits to the skin; now, new LED technology is monitoring many external conditions that directly relate to human skin and respiratory health. My Skin Track UV, from La Roche Posay, is an integrated near-field communication (NFC) app. The light emitting diode (LED) acts as a detector to capture UV light. The battery-free, water-proof LED is worn on clothing and the energy is read by transferring data from the sensor to a smartphone via NFC technology. Based on one's UV exposure and other environmental factors, the app uses a closed-loop, proprietary algorithm to issue a notification when environmental exposure is at a level that contributes to the users' specific skin concerns. Skin cancer is the most common form of cancer in the United States and is the easiest to prevent. My Skin Track UV measures UVA and UVB exposure, noting the maximum percentage of sun-stock – the recommended maximum daily allowance of UV based on skin tone and the UV index. It also tracks pollen, pollution, temperature, and humidity. This paper discusses application of LED and NFC technology and reviews similar skin care applications and health education, including uses and gratifications. The associated paper features background technological research behind the evolution of smart-phone UV skin monitoring. The paper also includes results from product demonstration.

Keywords: Light emitting diode, near-field communication, UV exposure, biometric user interfaces, wearable technology

Literature Review

Technology

The technology involved in My UV Skin Track from La Roche Posay concerns two factors: Light Emitting Diodes and Near-Field Communication. Further, the battery-free device communicates with the companion app housed on the end-user's smartphone. The app also integrates with Apple HealthKit for further convergence. Using a small clip, the user wears the device on the outside of their clothing while engaged in day-to-day activities. Users wore previous versions of this sensor with adhesive on a fingernail.

My Skin Track UV measures UVA and UVB exposure, noting the maximum percentage of sun-stock, which is the recommended maximum daily allowance of UV based on skin tone and the UV index. It also tracks pollen, pollution, temperature, and humidity. Actual end-user exposure updates by touching the device to the smartphone with the downloaded app. This differs from a constant Bluetooth connection. Other environmental factors are obtained via geolocation and they are aggregated from weather services, most notably Weather Channel. Finally, the app contains skincare advice based on self-reported skin tone and sensitivity, as well as activity monitoring during outdoor pursuits such as jogging, and trends based on the user's previous behavior patterns.

Before the My UV Skin Track launch, there was a prototype (My UV Patch) that La Roche Posay designed for families with children. It was a device for children that was not worn, but rather it was a patch attached to a child's wrist to aid in sun exposure. The parent or guardian could use the companion app to monitor external conditions while their children played outdoors or otherwise going throughout the day. The patch was designed to be thin, water resistant and last for multiple uses. It was also touted as something to help educate families concerning sun exposure and other environmental conditions that could affect skin and respiratory health.

Background of Light Emitting Diodes

When thinking about Light Emitting Diodes or LEDs, most people recall efficient replacements for incandescent light bulbs or, in a media production environment, the cool-to-the-touch film lights that can light up a stage, scene, or set.

LED technology can also act as a detector to capture UV light. While now a mainstay in many homes, its history is traceable back over a hundred years. Henry Round was an early pioneer in radio and received numerous patents before stumbling onto LED light. At the time the technology was called Electroluminescence; Round reported that certain substances, when passed through "cat whiskers" (a now-obsolete electronic component), gave off light. He subsequently published his report in 1907.

Background of Near-Field Communication

Most smartphone users have used Bluetooth technology for wirelessly listening to music, connecting headphones, and using activity trackers. Adding to the connectivity options, most modern smart devices come equipped with Near-Field Communication (NFC). Beginning as a payment mechanism in Japan in 2004 administered by Sony, Nokia, and Philips, NFC has become an integrated connectivity technology with many other applications. When an associated smartphone comes within 1-2 inches of the device, the connection occurs. Originally designed without batteries, NFC had strict security and production protocols from the outset owing to financial transactions and building access being an option for users.

Other Skin Care Applications

Skin care and technology have been growing hand-in-hand for many years. Large corporations, such as Clinique, offer "smart" skin analysis via their website as well as in-person. Another cosmetics corporation, Neutrogena, in partnership with FitSkin, released Skin360 in 2018 for certain iPhone models. It works by connecting over the phone's camera lens. After connecting the device and launching the app, the Neutrogena Skin360 measures pores, fine lines/wrinkles and moisture using eight on-board LED lights directly against the skin. Trove is a free app for iPhone and Android that addresses all superficial skin concerns using smartphones' built-in cameras. With no additional hardware or software costs, Trove analyzes skin texture, pores, fine lines, and spots (acne). Trove also lets the user self-report the products they are using during skin analysis. There are also points one can earn by doing skin reports, gamifying the process. While users may take selfies regularly, smartphone cameras have come to serve yet another purpose.

Methodology

Location of Study

The current study was conducted on campus at Kennesaw State University, as well as online through computer-aided research. This location was chosen because the researchers conducting the study all attend Kennesaw State University, making participation more accessible for outdoor trials.

Research Design and Sampling Procedure

The study took place for 30 continuous days from May 1-30, 2019 – a timeframe intentionally chosen because it is long enough to chart progress and because the spring season means sun exposure is more relevant than the cooler seasons before it.

Data Collection

Data was gathered for specific themes and trends among different criteria, as well as commonalities among chosen apps. The data gathered is qualitative, but there is also quantitative data present. Certain measurements were made regarding specific Uses and Gratifications.

Data Gathering Instrument

1. **Privacy:** within Terms of Service.
2. **Efficacy and Usability:** ease of use.
3. **Comparison to science:** sun exposure measured versus actual scientific weather forecast during use.
4. **User Education:** measured data presented to users during use.

Data Analysis

Focusing on each measurement, the current study analyzed and organized the gathered data into specific categories to best examine the effects of mobile skincare applications; it also examined negative and positive data in relation to the total testing period spent using the mobile application. In this process, the researchers also recognized and charted relevant patterns and themes to present the study's results.

Results

Focusing each measurement, the researchers analyzed the gathered data and organized it into specific categories to best examine the effects of mobile skincare applications. This process also involved examining negative and positive data in relation to the total testing period involving using the mobile application, May 1-30, 2019:

1. Privacy: including Terms of Service.

Positive outcomes:

- My Skin Track UV does not require users to sign up, provide contact information, or enter into any agreement with respect to email or other contact data. A user can employ the hardware and app as a guest with no signup necessary. This is important when considering privacy and access to personal information that the service is capable of gleaning.
- La Roche Posay states that it does not sell personal data that the device or app collects, and that they require the same of any third parties.
- Potential negative outcomes:
- My UV Patch will not work or operate in any way unless the user signs up with personal email and enter into the Terms of Service.

2. Efficacy and Usability: ease of use.

Positive outcomes:

- My Skin Track UV has a list of tasks that the user can select before undertaking activities, such as running outdoors. This tracks the activity and offers a forecast. Logging an activity allows the algorithm to gauge a highly accurate reading of the user's UV exposure.
- The app can also integrate with Apple Health, providing even more detailed health information for the user.
- The solar powered hardware does not need any extraneous power to operate.
- My UV Skin Patch is set up specifically for children and parents, and so the app features avatars that direct a user according to the activity they choose. The built-in AI assistant Helio or Helia (the user chooses) direct the user, through text, to connect new patches when the app launches.
- When communicating with My UV Patch, it is set up like a chat room. It also integrates geo-location and uses data to present Weather Channel with the most up-to-date information based on the user's location.
- The app features include basic functionality, such as the day's UV index, hyperlocal weather and humidity, and patch setup. The UV index tab of the app also directs the user to recommended skincare products (all products sold by the manufacturer of the app, La Roche Posay).

Potential negative outcomes:

- La Roche Posay suggests scanning one's NFC hardware at least twice a day, and ideally every two hours if outdoors, which may prove potentially inconvenient for active users. Accordingly, the app reminds the user every two hours, every day. On the other hand, this is infrequent compared to the constant connection of a Bluetooth device. Notifications can be turned off under settings.
- My Skin Track UV connects physically to the user's clothing with a metal clip. While this may not be a pervasive problem, the clip is loose on some clothing, leading it to possibly slip off during use if the user does not attach it with discretion.
- With both My UV Skin Track and My UV Patch, there is suggestive selling within the app considering there are only La Roche Posay products offered as options. The products also do not change: they aggregate based on self-reported skin care needs from the user when signing up for service.

- The NFC scanning can be cumbersome if the phone is housed in a case. Moreover, the scans often failed using an Android Google Nexus 6p.

3. Comparison to science: sun exposure measured versus actual scientific weather forecast during use.

Positive outcomes:

- Several data points in the My Skin Track UV app are pulled based on the user's exact location, creating a hyperlocal weather experience. Many weather apps are based more broadly on the city in which a user is located, so the data is less customized for weather.

Potential negative outcomes:

- La Roche Posay has hyperlocal connectivity with respect to weather. By utilizing the Weather Channel plugin for the North American market, users can notice a difference in the weather forecast in general versus the app's forecast.

4. User Education: measured data presented to users during use.

Positive outcomes:

- My Skin Track UV tailors its algorithm to a user's specific skin tone.
- Both apps feature maximum sun stock percentages along with UV levels (index) updated throughout the day and based on the physical location of the user.
- Both apps feature pollen and smog levels, including general pollution levels.
- Potential negative outcomes:
- The users skin tone is a self-reported item that affects the algorithm tasked with monitoring sun exposure.
- My Skin Track UV requires updated NFC connections in order to update and provide a more detailed analysis of sun exposure. This is potentially inconvenient.
- The hardware fails to register UV exposure when sunlight is indirect.

Discussion

Skin cancer is among the most common form of cancers in the United States. To that end, My Skin Track UV and My UV Skin Patch measures UVA and UVB exposure, noting the users' sun-stock while also tracking pollen, pollution, temperature, and humidity. This paper has discussed application topics, such as the background of LED and NFC technology, and it has reviewed similar skin care applications as well as health education, uses and gratifications.

Comparisons to Previous Research

While there have been no academic or clinical trials of this product, consumer tests from individuals and the general media are available online. There are also general product reviews from consumers widely available online. The reviews were mixed, with interpretation possibly showing that there was no outstanding public opinion. Many reviews reiterated that the information provided by the hardware and companion app were readily available online or on the user's smartphone. However, maximum sun stock is one area where the hardware and app provide new data.

Limitations of the Study

There were no focus groups or other large-scale tests of the product. The study was limited to discovery research based on the criteria outlined in the methodology and results sections of this paper. All tasks listed in My Skin Track UV were not tested individually. Moreover, due to a lack of patches in stock, this study could not test My Patch UV individually. After signing up, the app required a software update before the app would function.

Suggestions for Future Research

There should be a larger scale study with pre- and post-testing of knowledge about users' outdoor sun exposure. Moreover, an analysis of users engaging in the trial could have a pre- and post-test covering exposure to gauge whether the exposure to UVA and UVB light diminishes as a result of using the hardware and software.

Conclusion

Light emitting diode technology allows users to monitor indoor and outdoor environments while engaged in various tasks requiring exposure to UVA and UVB light or other environmental aggressors and factors. My UV Patch and My Skin Track UV provide the benefit of LED technology for monitoring many external conditions that directly relate to skin and respiratory health. The hardware and software do have several drawbacks but they do not outweigh the benefits dependent on situational analysis and user needs.

References

- [1] La Roche-Posay. (2019). Retrieved from <https://www.laroche-posay.us/my-skin-track-uv>
- [2] MyLEDpassion. (2019). HJ Round Started It All. Retrieved 10 May, 2019, from <http://www.myledpassion.com/History/hj-round.htm>
- [3] Near field communication. (2019). What is NFC?. Retrieved 10 May, 2019, from <http://nearfieldcommunication.org/about-nfc.html>
- [4] Spruch-Feiner, S. (2019). Neutrogena Launches Skin360 and SkinScanner With FitSkin. Retrieved 10 May, 2019, from <https://www.allure.com/story/neutrogena-skin360-skinscanner-fitskin>
- [5] The Verge. (2018). L'Oreal's UV sensor sticks to your fingernail. Retrieved 10 May, 2019, from <https://www.theverge.com/circuitbreaker/2018/1/7/16861722/loreal-uv-sensor-nail-sticker-nfc-announced-ces-2018>
- [6] Weiss, R.A., McDaniel, D.H., Geronemus, R.G., and Weiss, M.A. (2005). Clinical trial of a novel non-thermal LED array for reversal of photoaging: Clinical, histologic, and surface profilometric results. *Journal of Clinical Dermatology*, 36(2), 85-91.

The Societal Value of Art and Music in the Bapedi Culture and the Implications for Music in Healing as a Cultural Phenomenon

Morakeng Edward Kenneth Lebaka

Department of Art & Music, College of Human
Sciences University of South Africa (Unisa), Pretoria, South Africa

Abstract

Bapedi people's art and music are a functional and necessary part of everyday life and it would be impossible to understand Bapedi culture without an understanding of their art and music. Within Bapedi people's cultural context, art and music give life to the values, emotions and daily customs of the Bapedi people. The purpose of this article was to investigate the social, cultural and religious functions of art and music within Bapedi people's cultural context, and to place Bapedi people's indigenous art in its social context rather than to discuss aesthetic appeal, stylistic zones, and the formal qualities of art objects. Further, it seeks to discover a) the implications for music in healing as a cultural phenomenon; and how art and music are a functional and a necessary part of the daily lives of Bapedi people. The study used a naturalistic approach and the methods of data collection were video recordings of cultural and religious rituals, social ceremonies and celebrations, interviews and observations. The results have shown that in the Bapedi culture, art and music play a pivotal role in many spheres of the Bapedi people's lives. The results have also demonstrated that Bapedi people express their emotions through music, and use music for regulating their emotions.

Keywords: Bapedi people, art and music, healing, culture, Sekhukhune district, Limpopo Province, South Africa.

Introduction

Bapedi people are a Bantu ethnic group residing primarily in Sekhukhune district municipality (see figure 1), Limpopo Province in South Africa, as well as other parts of the country to a lesser extent. They are a pretty peculiar people and hospitable. They are generally helpful and polite, and glad to help confused tourists if asked. In Bapedi society, music is performed as part of Bapedi people's social life and is used to communicate a great variety of messages. Bapedi people find the songs helping them in their religious experience and in calming their emotions. The use of culturally appropriate music¹ serves as a major means of creating social cohesion, promoting wise behaviour and imparting moral and ethical values. Musical instruments such as membranophones; *meropa* (drums), chordophones; *botsorwane* and *lelope*, idiophones; *dipela* (mbira), *dithlwathlwadi* (leg and hand rattles), and aerophones; *dinaka* (reed-pipes), *phalafala* (antelope horn), *mekuduetane* (whistles) are used during cultural and religious rituals, as well as during social ceremonies and celebrations. Indigenous Bapedi songs are communally composed to local tunes and they are accompanied by dancing and clapping of hands.

¹ Relevant to the context of this study, Munyaradzi and Zimdzi (2012, p.193) rightly state that the definition of music can depend on the culture or society an individual belongs. Munyaradzi and Zimdzi further point out that music can be defined as the agreement of the people of a culture as to the sounds and the ways of using these sounds that are pleasant or effective. In the same vein, Mkallyah (2018, p.201) writes that "in Africa, the term 'music' relates most frequently to the sounds that focus on social needs".



Figure 1: Geographical Location Map of South Africa showing Sekhukhune district municipality in Limpopo Province.

Source: <https://showme.co.za/facts-about-south-africa/the-maps-of-south-africa/> Date: 23 July 2019

★ = shows where Sekhukhune district municipality is situated in Limpopo Province.

The choice of the Bapedi people as the context for this research study is primarily motivated by the fact that the researcher belongs to the same group. Given this reality, it is easy to appreciate and assess traditional views, customs and practices as an internal observer. The second reason for choosing this topic relates to the researcher's past experience. This research study is thirdly, motivated by a need to collect and document the social, cultural and religious functions of art and music within Bapedi people's cultural context. The result of this undertaking will be a contribution that could be utilised by posterity. By using Indigenous Knowledge Systems, like the Bapedi culture, a data bank could be built for future scientific research. Three interrelated research questions therefore guided this study; 1) What makes art and music so important in Bapedi society? 2) What is the role, the function and the position of art and music in the daily lives of Bapedi people? and; 3) What are the implications for music in healing as a cultural phenomenon? The purpose of this study is to address the above questions with the view to show the importance of understanding, respecting and acknowledging Indigenous Knowledge Systems. This article comprises four parts in total, which deal with the following issues: The next section will describe the theoretical framework underpinning the study. The discussion will commence by discussing extant literature on the importance of music in society. It then moves on to the research methodology. Next, the results of the study will be

presented, followed by the discussion of results. Finally, the last section would basically sum up research findings and conclusions of the study, and contains the conclusions arrived at in the study and recommendations for further studies.

Theoretical Framework

In this study, the author adopts a critical lens toward the '*Sociocultural Theory*'. Sociocultural theory grew from the work of seminal psychologist Lev Vygotsky who believes that parents, caregivers, peers, and the culture at large are responsible for developing higher order functions (Vygotsky, 1978). According to Vygotsky, learning has its basis in interacting with other people. Vygotsky theory also stresses the importance of play in learning. According to him, types of play that can further learning include role-playing, games, and reenactments of real events. He believes that cultures can vary so dramatically and each culture presents unique differences. This theory considers how education occurs within the totality of a specified culture, including all the realms of a given society (Mwinzi, 2015, p.678). The Sociocultural theory is applicable to this study, as it deals with communalism, holism, preparationism, perennialism and functionalism as the base of African thought which is perceived in this study as Indigenous Knowledge Systems. It is in line with Bapedi people's music tradition in the Bapedi cultural setting. More specifically, the theory of sociocultural seeks to know, understand and prescribe apt practices of pedagogy (Mwinzi, 2015, p.678). Tudge and Scrimsher (2003) observe that, Vygotsky was not only interested in what more knowledgeable others brought to the interaction, but also in what the child himself or herself brought to the interaction, as well as how the broader cultural and historical setting shaped the interaction at large.

Vygotsky's theory is adopted for this study because it is generally consistent with the objectives of the present study. My interpretation of Vygotsky's research framework in relation to Bapedi people's cultural context is that in the Bapedi culture, during the transmission process of indigenous Bapedi songs, parents, caregivers, peers and the community at large play a pivotal role to make enculturation process a reality and a success, and learning music within Bapedi people's cultural context has its basis in communalism and interacting with other people. In this interpretation, communal music-making is viewed as a cultural activity which reveals a group of people organizing and involving themselves with their own communal relationships (Chernoff, 1979). The second alternative interpretation would be that in the Bapedi society, some if not all community members are engaged in some recurrent activities in which any member of the community joins regularly with others outside the community. Consistent to this interpretation, Gearing et al (1975, pp. 285) opine that "any person who is to become a participant in any recurring event enters as a newcomer and later becomes an old hand". He further asserts that "in the contemporary world, every person lives in two kinds of social systems, daily moving into and out of events which make up one or more localized worlds and a wider world" (1975, p.6). These scholars suggest that "an adequate sample of events must include events which are parts of such localized systems singly and in some combinations other events which are parts of such wider networks, and still others which are parts of both in some interpenetrating mix" (Gearing et al, 1975, p.6).

Like the objectives and recommendations of this study, Vygotsky's research framework '*Sociocultural Framework*' is probably the earliest effort encouraging ethnomusicologists to invest more interest in music, culture and identity, as well as in communal music-making and learning by doing. It posits that culture constitutes concrete manifestation of human social processes and historical development. Gindis (1999, p.39) expressed firm conviction that Vygotsky's scientific legacy contains a theoretical framework that might integrate all branches of contemporary education. According to Gindis (1999, p.39), the socially, culturally, and developmentally oriented theory of Vygotsky has the potential to unify, restructure, and promote education which is culturally embedded. In my view, Vygotskian framework can be viewed as an educational theory which enhances educational practice and a critical discourse for understanding Indigenous Knowledge Systems. Using this framework, four questions were explored. These questions refer to music, culture, heritage and identity. The present study will contribute to a clearer understanding of the role of art and music in Bapedi society based on communalism, holism, preparationism, perennialism and functionalism as advocated by Vygotsky. The next section focuses on the previous related studies.

Previous Related Studies

Studies of the importance of music in society, among them by Mbaegbu (2015), Gregory (1997), Rager (2008), Reimer (2002), Dube (1996) and Nnamani (2014), have dealt with music as an integral part of the societies that perform it. In his study of *the effective power of music in Africa*, Mbaegbu (2015, p.176) found that "music plays an indispensable role in the being of Africans at work, in politics, in their socio-economic engagements, in religious worship, integral development and in their moral life". His study has also demonstrated that African music is one of the cultural characteristics that make the

African who he is as a distinct cultural being in the world, for it binds Africans together and gives them common characteristics. Attesting to these findings, Gregory (1997, pp.123-124) writes: "In many societies music is not an independent art form to be enjoyed for its own sake, but is an integral part of the culture". He further mentions that "music may accompany every human activity from the cradle to the grave, including lullabies, games, dancing, work, healing, battle, rites and ceremonies, including weddings and funerals". Gregory is of the opinion that "Africa has hundreds of different societies, each with their own traditions and with different roles for music, but in the majority of them music forms an integral part of all activities" (1997, p.124). This view is further articulated by Dube (1996, p.101) who observes that "music is found in specific contexts like rites of passage, for example birth, marriage and weddings, death, house-warning activities, beer drinking, war, coronation, homage to a ruler, politics, hunting, harvesting and general work, vulgar play, boasting, herding, lullabies, children's play, and royal praises". Further exploring this finding, Dube (1996, p.110) writes that "popularly known as *chimurenga* music in Shona society, music performance was used in the war to instil determination, inspiration and hope among fighters and everyone who participated. Furthermore, Dube (1996, p.115) argues that "in traditional society, music has a direct functional role". In a similar vein, Rager (2008, p.1) points out that "music serves various functions and is used by people of all ages in many ways". Rager (2008, p.8) proceeds to reveal that Reimer (2002) also believed that music has a dual role in society. *Firstly*, to develop talent for those gifted musically and *secondly*, to develop aesthetic sensitivity to music of all people regardless of their musical talents. According to Reimer, this in turn would benefit society and the art of music which depended upon an understanding public.

Consistent with these observations, Munyaradzi and Zimodzi (2012, p.194) observe that the function of music in a society is another area of importance that brings misunderstandings as some people fail to understand the functions of music in another culture. Munyaradzi and Zimodzi further elaborate that the issue of cultural aspects brings in many differences as cultural beliefs changes the view of many people when it comes to defining music (2012, p.194). Nnamani (2014, p.304) supports these observations by stating that "in Africa generally, music plays an important part in the lives of the people and one of the major characteristics of African music is that it has function. Nnamani affirms that the various stages of the life-cycle of an individual and the life-cycles of the society are all marked with music (2014, p.304). Furthermore, Nnamani asserts that another important feature of African music is the existence of a wide diversity of singing and dancing styles which seem to create difficulties of understanding and appreciation by those who are not accustomed to the tradition (2014, p.306). According to Nnamani, this diversity is partly due to linguistic factors, for many African music reflect speech mannerisms of the various language groups including common features of speech such as rhythm and intonation (2014, p.306). Nnamani is of the opinion that Africans depend on music as a means of communication within and outside the community (2014, p.306). He is convinced that the fact is that the traditional African sees a link in time past, time present and in the future. In his view, this link is however, symbolized by the sound of music (Nnamani, 2014, p.306).

Research about the significance of music in a society has generated diverse beliefs, views, and theories that explore its nature and meaning. Nketia(1976, p.9) and Tracey (1954, p.240) state that "the promotion of different types of music in traditional society does not normally require special institutions or places set aside solely for performances of music and dance". These scholars postulate that "performances take place on social occasions and are either integrated with the central events or arranged as background activities". They reckon that "it is institutional life, therefore, that supports traditional music". Corroborating the above findings Ibekwe (2009, p.163) observes that music (especially African) by its nature and purpose is a compendium of people's way of life. According to Ibekwe, it represents people's tradition and no amount of stereotype conception can undermine its importance in any society. Expanding this further, Allen (2004, p.4) and Schumann (2008, p.34) assert that "music can act as an acute indicator of finely tuned public sentiment, and can also function as a site of both individual and group agency". According to these scholars, music is one of the fundamental mechanisms through which people indicate what they personally enjoy, approve of, identify with, recognise as true, or acknowledge as ethically appropriate. Views such as those expressed by Dickie (2017, p.1) and Jayeola (2015, p.102) highlight the impact that music and song. In particular, Dickie (2017, p.1) observes that "music and song have a powerful ability to move people emotionally, and thus have a distinct role to play in a person's worship". In his view, music is one of the major forms of oral art in African societies, and is always performed before an audience. In the same vein, Jayeola (2015, p.102) opines that "African music is one of the cultural indices that make Africans". Further, Jayeola (2015, p.102) elaborates that "African music is a cultural identity that has to do with singing, playing of instruments, dancing and use of various artifacts". Jayeola believes that "traditional music can claim to be the expression or art that is most accessible to human beings in any situation in their lives: crises or calm, work and worship, play or war, recreation or reflection, and has so much influence in the life of an African man and everything we do; even in our traditional occupations like, farming,

weaving, blacksmith, carpentry, dyeing, hunting" (2015, p.104). Jayeola (2015, p.4) remarks further that "in African context, music is implicated in life, and people go all out to use music to communicate, to move, to express emotions and ideas, and to mobilize people or rally their solidarity". According to Jayeola, music performed by every society carries the social cultural nuances and messages of the society.

Taking a different view, Chiang (2008, p.21) argues that Africa experience sickness and healing through rituals of consciousness-transformation whose experiential core is musical. He further states that traditional healing ceremonies serve to heal the sick and are done differently among different communities (2008, p.34-35). He is of the opinion that unlike music therapy, traditional music and healing usually serves as the primary healthcare system in the developing world. He believes that these cultures hold beliefs in the healing power of music that were shaped by their history and cosmology. By reviewing the literature above, it is clear that music in Africa involves language, the customs and values of the society and permeate every facet of human endeavour.

Research Methodology

A methodological approach in this study comprised of conversational method¹, Ethnography², and a case study approach, whilst, the fundamental tool of collecting data was primarily oral interviews among traditional Bapedi musicians, video recordings and observations. A total number of thirteen (13) traditional musicians were interviewed for the study. Through my interaction with them, I was afforded the opportunity to get first-hand information and to gain insights on aspects and issues that are often neglected and rarely published. Traditional musicians were interviewed to elicit information on Indigenous Knowledge practices in relation to their music tradition used in the Bapedi culture. Rationale for choosing interviewees was based on their knowledge of different indigenous Bapedi music genres and the musical processes of these music genres as well as their social, cultural and religious functions.

Results

Social functions

Music as a tool for creating social cohesion

During the study, it was observed that in the Bapedi culture, music has the power to unite Bapedi people (**see photo 1**). It has become evident that Bapedi people use their indigenous songs for social cohesion, to create mutual trust and to cement friendship. Correlating the above, Gregory (1997, p.131) asserts that "music is a powerful means of creating a sense of belonging, either to a particular ethnic group or to a place". Attesting to Gregory's assertion, Mkallyah (2018, p.202) states that "the nature of African music performance is based on accompanying different activities in the sense that it is not music just for listening to". He observes that "African music originates from the African community and is an integral part of the community". In addition Ogunrinade (2012, p.109) explains further that "music and every aspect of life activities are inseparable in African setting to the degree that every activities have music attached to it". According to Ogunrinade (2012, p.111), as an integral part of life, music is used in such day to day activities as disseminating information of societal interest and arousing emotion; and for important occasional events like initiation, rituals and coronation ceremonies. Ogunrinade further elaborates that "music is one of the most powerful, the most compelling, and the most glorious manifestations of human cultural heritage" (2012, p.111). The above point is of prime importance with the view of Ebeli (2016, p.22) who opines that "the arts of which music is part are a powerful tool of communication". Additionally, Ebeli (2016, p.24) asserts that "throughout history, music and dance provide pleasure, enjoyment and self-esteem to humanity". Mkallyah (2015, p.167) supports these when he states that "to large extent, music helps to change the people's behaviour through their performances, function and contents".

¹ Kovach (2010, p.40) describes conversational method as a means of gathering knowledge found within Indigenous research. According to him, the conversational method is of significance to Indigenous methodologies because it is a method of gathering knowledge based on story telling tradition congruent with an Indigenous paradigm. He believes that conversational method involves a dialogic participation that holds a deep purpose of sharing story as a means to assist others.

² Calitz (2017, p.5) rightly remark that Ethnography is a means of collecting data through participating observation.



Photo 1

Cultural festival (Dikgageng village; Sekhukhune district, Limpopo Province, 24.09.2018), Photographer: Morakeng Edward Kenneth Lebaka

When participants were asked about the implications for music in healing as a cultural phenomenon it was found that in the Bapedi culture, music in healing and healing in music are conceived as interwoven. Morongwa Angelinah Tshehla explained (12 January 2019) that the importance of music in healing cannot be overemphasized. She further elaborated that music permeates the social life of Bapedi people, and Bapedi society develops its own cultural way of dealing with illness utilizing their indigenous songs.

Cultural functions

The implications for music in healing as a cultural phenomenon.

In Bapedi society in particular and in Africa in general, music in healing is an age old tradition. It has been in existence for many centuries before the infiltration of culture and/or acculturation by the Western Christian missionaries, colonialization and Western political expeditions on the African continent. As a knowledge system, it plays a pivotal role in many spheres of the Bapedi people's lives. The above observation is supported by Jayeola (2015, p.106) who unequivocally states that "music, especially traditional music has an answer to whichever direction the mobilization takes". He is of the opinion that culture constitutes the totality of customs, rituals, norms and values that regulate the people's pattern of life. In the same vein, Gregory (1997, p.132) observes that "in many traditional societies, music serves a healing function, has a sacred healing role both for the individual and for society and is believed to facilitate communication with the ancestors and to

harmonize the forces of the visible and the invisible world". Aluede (2006, p.31) endorses these observations by stating that "the use of music in healing and healing rites in African traditional societies is as old as the origin of African Continent".

Like in many other African societies, in the Bapedi society traditional healers who perform music to appease and to communicate with the ancestors are found (**see photo 2**). They create music to accompany religious rituals, as well as to reflect on human experiences. They believe that when the ancestors need to be consulted, the most effective way of reaching them is through music and dance (Lebaka, 2017, p.75). Attesting to the above finding, Nnamani (2014, p.305) rightly opines that "in Africa, participation in music is spontaneous and voluntary". He asserts that it is also an obligation imposed by one's membership of a social group or a responsibility attached to one's situation in a society.



Photo 2

Dingaka (traditional healers) and *Mathasana* (trainees) making libations and pouring beer onto the ground; (Mashite village – Schoonoord, Sekhukhune district, 29 September 2007); Photographer: Morakeng Edward Kenneth Lebaka.

Interviews with Malekgopeng Sete (12 January 2019) showed that singing is a mechanism used by traditional healers (**see photo 2**) to summon the ancestors. Malekgopeng further mentioned that specific songs are sung especially when problems seem particularly difficult to surmount. Concurring with Malekgopeng's views, all interviewees were in agreement that music which is performed during *malopo* rituals tend to energize the traditional healers (*dingaka*) and trainees (*mathasana*) to perform effectively. Malekgopeng further mentioned that during the dance itself, the healing power of the dance is shown by both traditional healers and trainees, who after reaching a state of trance, become spiritually and physically healed. In the same vein, Gregory (1997, p.134) writes that "music may trigger a trance state or calm it, and in different cultures trance may be induced by loud or quiet music, the human voice, drums, or other instruments". According to Gregory (1997, p.134), possession is associated everywhere with music and dance, and these both play their part in inducing trance. Gregory further emphasizes that "often music and dance may act together to produce the emotional state favourable to trance"

Entertainment

In African societies, music making is generally organized as a social event (Phibion, 2012, p.2). Phibion continues to emphasize that “music is part of culture and culture influences music” (2012, p.1). Through oral interviews, it was established that indigenous Bapedi songs are also performed to express happiness and for entertainment (**see photo 3**).

The above observation is enriched by Ramadani’s (2017, p.249) assertion that “music plays an important role in everyday life, and through music, communication is as natural as conservatory, and as ideal as the mobilization”. Ramadani (2017, p.249) further advocates that “the value of music is presented in all musical works which are estimated for the message transmit to the public”.



Photo 3

Cultural festival (Dikgageng village; Sekhukhune district, Limpopo Province, 24.09.2018), Photographer: Morakeng Edward Kenneth Lebaka

Among Bapedi people, entertainment songs are quite popular. Wedding songs, for example, are meant for entertainment but have also cohesive and social functions. Bapedi people perform wedding songs to; 1) reinforce the importance of family and community solidarity; 2) reinforce the value of marriage as a sacred union; 3) reinforce the importance of perseverance in marriage; 4) reinforce the roles of each spouse in married life; and 5) for entertainment purposes (Lebaka, 2017, p.192). Some songs are sung by community members to accompany tasks such as food preparation, and merry making that takes

place once all rituals have been performed. Very often, the texts of these songs are not without relevance to the ceremony and issue of marriage. Mkallyah (2015, p.162) captures this notion most succinctly when he writes that “there are songs meant for the bridegroom, and songs for the actual wedding celebration”. For him, both of these wedding songs have specific roles to play in society. Mkallyah (2015, p.162) further elaborates that these songs teach young women how to live with their husbands, and men how to live with their wives. In his view, the celebratory mood associated with these songs stem from the functions for which the songs were designed and performed – a happy occasion. The following song (**table 1**) is an example of entertainment songs sung during wedding ceremonies.

Song text and translation

Original Sepedi stanzas	English translation
1. Dali moratiwa	1. Darling, sweetheart
2. Kgale re ratana	2. It has been a long time that we were in love,
3. A ko nthekele ring	3. Please buy me a wedding ring,
4. Wena o bapala ka nna	4. You are a playing a fool out of me
5. Gona bjale	5. Very soon,
6. Ke ya tsamaya	6. I will be leaving,
7. Ke ya tsamaya	7. I will be leaving,
8. Ke ya kgole kgole	8. I am going far away
9. Kgole le legae	9. Far away from home,
10. Wena o bapala ka nna	10. Because you are playing a fool out of me.

Table 1: Sepedi with English translation of ‘Dali moratiwa’ (Darling, sweetheart) song for entertainment sung during wedding ceremonies.

In support of the above observations, Gregory (1997, p.130) states that “ceremonies for individual members of the society are also important, and music is an essential element of every marriage, initiation ritual, and funeral in most cultures”. He stresses that “the music in many ceremonies and dances is thus speaking directly to the participants”. Gregory (1997, p.135) goes a step further by emphasizing that “in many societies, people enjoy music, singing, and dancing independently of any celebration and festival”. Gregory is of the opinion that “the effectiveness of the music thus depends very much on the context, but ultimately it depends upon the music”.

Music as a platform for promoting wise behaviour

During the study, it was further observed that indigenous Bapedi songs are teaching songs, and are used to promote community well-being. It has emerged from this study that these songs are more educational than for purposes of leisure or recreation. The impression created during interviews and observations was that, Bapedi people sing these songs to build moral and ethical values in the society. **Photo 4** below shows the caregivers of the initiates (*baditi*) and the initiates in between the caregivers, welcomed back home after they have satisfied all the requirements for the initiation school. The caregivers sing an initiation song characterised by themes which are educative either by use of direct statements or by use of idioms, metaphors and proverbs that are poetically structured to promote wise behaviour.



Photo 4

Initiates welcomed back home (Kotsiri village; Sekhukhune district, Limpopo Province, 13.07.2019), Photographer: Morakeng Edward Kenneth Lebaka

From the observations and interviews, it was established that indigenous Bapedi songs bear advice which seeks to promote cultural heritage and inspire respect. During my field research, I have also observed that Bapedi people sing their songs to promote correct behaviour, exhort morals through condemnation of indecency and inculcate tribal values through advice to observe good behavioural value systems. This observation is in line with the opinion of Oboneng Masha (personal communication, 24 September 2018), who said that “in the Bapedi culture, traditional music education is a systematic process informed by the concept of music as a social experience as well as an agency for the management of people and society”.

Religious functions

Music as a vehicle of imparting moral and ethical values

Religious music in the Bapedi culture is sacred and is regarded as having extraordinary power. Traditional Bapedi musicians create music to address issues of societal concern and moral and ethical values (see table 2). During the performance, the proverbs are normally very contextual in that they could mean different things in different situations. Some songs are characterized by metaphorical language.

Song text and translation

Original Sepedi stanzas	English translation
1. A ke nyake ngwanake a roga batho.	1. I don't want my child to curse people
2. Hleng o roga batho ba bagologolo	2. He is cursing the elderly people,

3. A ke nyake ngwanake a roga batho, mampelebele,	3. I don't want my child to curse people, mampelebele.
4. Hleng o roga batho ba bagologolo	4. He is cursing the elderly people

Table 2: Sepedi with English translation of 'Ga ke nyake ngwanake a roga batho' (I don't want my child to curse people) song for imparting moral and ethical values.

The purpose of singing the above song is to impart moral and ethical values. The central message in this song is that children or the youth should respect elderly people. The singer is not happy about his child because he is not respectful. He is offending and provoking elderly people, and is causing himself bad-luck. During oral interviews, it was established that in the Bapedi culture, there is a general belief that the consequences of cursing elderly people is bad-luck. The song is short, characterized by repetition, and the tone is that of a lament, as the singer sounds to be disappointed by the child, disillusioned and demoralised.

Interviewees were asked whether indigenous Bapedi music has an impact on morals and ethical value systems within Bapedi society. It was found that Bapedi people are successful in sustaining and retaining a high standard of living in terms of respect, hierarchy and cohesion because of their indigenous songs. The impression created during interviews and observations was that in the Bapedi society, social and ethical values are communicated through indigenous Bapedi songs, while the content is largely dictated by current concerns and the way Bapedi people approach them. It has emerged from this study that Bapedi people are guided by complex sets of moral and ethical values and beliefs that are historical and cultural.

Corroborating the above observations, Mbaegbu (2015, p.182) opines that "in traditional African society, people's notion of morality go a long way to influence their music". In his view, it is therefore not usual for the African to make merry for their achievements especially when such goals are attained with their physical ability but they insist on justice and fairness in such contests (2015, p.182). Mbaegbu further elaborates that "African music upholds African morality and the same African music which upholds morality do contain some elements that derogates or instil bad morals in African society". He stresses that "while morality sets the pace, African music upholds good morals and denounces some bad ones". These viewpoints are supported by Gregory (1997, p.137) who observes that "in some societies, religion has been the main force behind the development of music, while other religions use no music and may even disapprove of music".

Discussion

From the above discussions, it is evident that in the Bapedi society, art, music and dance have a much greater purpose for either the community or group. The results yielded thus far have shown that in the Bapedi culture, music and dance are a way of life and not just a form of entertainment. Based on the findings of this study, it is evident that Bapedi culture is deeply rooted in its music, and music is an integral part of the Bapedi culture, with various ceremonies being preceded by some sort of music. In this study we observe that indigenous Bapedi songs are sung to communicate a great variety of messages, calm emotions, create social cohesion, promote wise behaviour and impart moral and ethical values, and serves a healing function. With regard to the relationship between music and dance, the enquiry has revealed that in the Bapedi culture, no real separation exists between music and dance. These results suggest that in the Bapedi culture, the performance of indigenous Bapedi songs involve contact with others, strengthens the perception of social cohesion among Bapedi people and collaboration increases and promotes trust between performers/participants. During the study, it was further observed that indigenous Bapedi songs have the potential to make Bapedi people connected. It has emerged from this study that among Bapedi people, music is a very powerful medium, and it is powerful at the level of the social group because it facilitates communication which goes beyond words, enables meanings to be shared, and promotes the development and maintenance of the individual, group and cultural identity. Results of this study further showed that indigenous Bapedi songs can be used to promote appropriate behaviour in vulnerable groups and enhance the quality of life.

It is noticeable that among Bapedi people, communal music-making may enhance self-esteem and promote the development of a range of social and transferable skills. Interviews with traditional Bapedi musicians reveal high levels of knowledge about the societal value of art and music in the Bapedi culture and the implications for music in healing as a

cultural phenomenon. Analysing the data, it was interesting to note that indigenous Bapedi songs seem to encourage Bapedi people to use their songs to manipulate their own moods, reduce stress, alleviate boredom while undertaking tedious or repetitive tasks, and create environments appropriate for particular kinds of social occasion. It is of considerable interest to note that Bapedi people do not only listen to music, but they are actively taking part in making it. The exposition of this study has also shown that indigenous Bapedi music is embedded into Bapedi society, but is also a reflection of Bapedi society, revealing some of the values that Bapedi society possesses. On the basis of these findings and discussions, it is arguable that music can serve to maintain a collective identity, function as an identity marker and as part of art, and can express feelings and emotions. The results of this study support Ramadan's (2017, p.248) assertion of the relationship between music, culture and identity. He argues that "music plays an important role in the process of production and reproduction of national culture and national identity. He further emphasizes that "song and music unite people in a living organism, where singing, playing instruments together, and dancing creates mutual trust". He is convinced that "music affects people and also people affect music".

Some Concluding Thoughts

In conclusion, it is clear that Bapedi people use their music for various functions: to create social cohesion, promote wise behaviour and impart moral and ethical values. The results of this study confirm that through the songs, Bapedi people express their views of all aspects of life. In this study, I have argued that art and music are integral part of Bapedi society. I have also argued that traditional Bapedi music is one of the characteristics that make Bapedi people who they are. The results of this study provide evidence that art and music play a pivotal role in shaping the cultural identity of the Bapedi people. The literature that has been reviewed demonstrates that indigenous music is a natural phenomenon, has many functions and permeate every facet of human endeavour. The study contributes to the notion that indigenous Bapedi music and culture are inseparable. The results yielded thus far have shown that the use of music in healing and the societal value of art and music help to identify the Bapedi culture. Indications from the investigation suggest that Bapedi people should continue to use art and music performances to preserve and develop the Bapedi history and societal beliefs of the Bapedi culture.

References

- [1] Aluede, C. O. (2006). Music Therapy in Traditional African Societies: Origin, Basis and Application in Nigeria. *Journal of Humanities and Ecology*, Volume 20, Number 1, pp. 31-35.
- [2] Allen, A. (2004). Music and politics in Africa. *Social Dynamics*, Volume 30, Number 2, pp. 1-19.
- [3] Dickie, J. (2017). Singing the Psalms: Applying principles of African music to Bible translation. *Scriptura* Volume 116, pp. 1-16.
- [4] Dube, C. (1996). The changing context of African music performance in Zimbabwe. *Zambezia XXIII* (II), pp. 99-120.
- [5] Calitz, C. J. (2017). Healing liturgy: The role of music and singing. *Verbum et Ecclesia*, Volume 38, Number 1, pp. 1-9.
- [6] Chernoff, J. M. (1979). *African rhythm and African sensibility, aesthetics, and social action in African musician idioms*. Chicago and London: The University of Chicago Press.
- [7] Chiang, M. M. (2008). *Research on music and healing in Ethnomusicology and Music Therapy*. Masters' thesis, Faculty of the Graduate School of the University of Maryland, College Park, Baltimore County.
- [8] Ebeli, E. A. (2016). Girl child education and enrolment drive: The role of traditional music and dance. *Journal of Music and Dance*, Volume 6, Number 3, pp. 20-26.
- [9] Gearing, F. et al. (1975). Structures of censorship, usually inadvertent: studies in a cultural theory of Education. *American Anthropological Association*, Volume 6, Number 2, pp. 1-9.
- [10] Gindis, B. (1999). Vygotsky's Vision: Reshaping the Practice of Special Education for the 21st Century. *Remedial and Special Education*, Volume 20, Number 6, pp. 32-64.
- [11] Gregory, A. H. (1997). The roles of music in society: the ethnomusicological perspective. In: Hargreaves, D. J. & North, A. C. (eds). *The Social Psychology of Music*, pp. 125-139. New York: Oxford University Press.
- [12] Ibekwe, E. U. (2009). The role of music and musicians in promoting social stability in the country. *UJAH UNIZIK Journal of Arts and Humanities*, Volume 14, pp. 159-174. <http://dx.doi.org/10.4314/ujah.v14i3.10>.
- [13] Jayeola, F. (2015). Indigenous music in Nigeria: Its role towards National Development. *FUNAI Journal of Humanities and Social Sciences*, Volume 1, Number 2, pp. 102-109.

-
- [14] Kovach, M. (2010). Conversational Method in Indigenous Research. *First Peoples Child & Family Review*, Volume 5, Number 1, pp. 40-48.
 - [15] Lebaka, M. E. K. (2017). *Transmission Processes of Indigenous Pedi Music*. Finland: University Library of Jyväskylä: Jyväskylä.
 - [16] Mbaegbu, C. C. (2015). The effective power of music in Africa. *Open Journal of Philosophy*, Volume 5, pp. 176-183.
 - [17] Mkallyah, K. (2015). Tanzanianisation and Practice of Indigenous Music Traditions in Church Worship in Dar es Salaam. *International Journal of Humanities and Social Science*, Volume 5, No.2, pp. 156-168.
 - [18] Mkallyah, K. (2018). The Emergence and the use of indigenous Tanzanian music traditions in Christian worship in Dar es Salaam, Tanzania. *International Journal of Humanities and Cultural Studies*, Volume 4, Issue 4, pp. 201-217.
 - [19] Munyaradzi, G. and Zimidzi, W. (2012). Comparison of Western Music and African Music. *Creative Education*, Volume 3, No.2, pp. 193-195.
 - [20] Mwinzi, J. M. (2015). Theoretical Frameworks and Indigenous Knowledge Systems. *International Journal of Education Research*, Volume 3, Number 2, pp. 677-684.
 - [21] Nketia, J. H. K. (1976). The place of traditional music and dance in contemporary African society. *The World of Music*, Volume 18, No. 4, pp. 5-15.
 - [22] Nnamani, N. S. (2014). The role of folk music in traditional African society: The Igbo Experience. *Journal of Modern Education Review*, Volume 4, Number 4, pp. 304-310.
 - [23] Ogunrinade, D. O. A. (2012). Teacher's perception on the incorporation of indigenous music contents into music curriculum in Nigerian schools. *African Journal of Education and Technology*, Volume 2, Number 1, pp. 108-118.
 - [24] Phibion, O. S. (2012). Dithlaka music learning and practices through transmission among Batlokwa and Balete of Botswana. *Journal of Music and Dance*, Volume 2, Number 1, pp. 1-8.
 - [25] Rager, D. (2008). "The Role of Music in Society Past, Present and Future", *Music Faculty Publications*, 3. https://engagedscholarship.csuohio.edu/clmusic_facpub/3.
 - [26] Ramadani, I. (2017). Music, Culture and Identity. *Academic Journal of Business, Administration, Law and Social Sciences*, Volume 3, Number 1, pp. 248-253.
 - [27] Reimer, B. (2002). *A Philosophy of Music Education*. Prentice Hall/Pearson Education, Upper Saddle River, NJ. Pp.14-16.
 - [28] Schumann, A. (2008). The Beat that Beat Apartheid: The role of music in the resistance against Apartheid in South Africa. *Stichproben. Wiener Zeitschrift für kritische Afrikastudien* Nr. 14/2008, 8. Jg., pp. 17-39.
 - [29] Tracey, H. (1954). The social role of African music. *African Affairs*, Volume 53, Number 212, pp. 234-241.
 - [30] Tudge, J. & Scrimsher, S. (2003). Lev S. Vygotsky on education: A cultural-historical, interpersonal, and individual approach to development. In B. J. Zimmerman & D. H. Schunk (eds.), *Educational Psychology: A century of contributions* (pp. 207-228), Mahwah, NJ: Erlbaum.
 - [31] Vygotsky, L. S. (1978). *Mind and Society*. Cambridge, MA: Harvard University Press.

Civic Participation and Demonstrations in Portugal (2011–2012)

Célia Taborda Silva

Universidade Lusófona do Porto

Abstract

In recent years, a little over the world, emerged social protest, from the Arab Spring to the Indignados, resulting from the dissatisfaction of the citizens and fruit of the speed with which the information circulates and is shared. In Portugal, the tendency to protest was in the same direction as in Europe and the world, as demonstrated by the movements of March 12, 2011 (Scratch Generation), and of September 15, 2012 (Screw the Troika). These movements brought together thousands of people in protest against government policies and in defense of a new political, economic and social model. In several cities of the country, the Portuguese, as citizens, intervened in the public sphere and expressed themselves on issues related to them, such as the crisis, unemployment, exploitation, as persons belonging to a community. The novelty was the use of communication technologies and social networks to appear, acquire visibility, then existence, as Hannah Arendt (2005) would say. Through the use of digital communication, they ignored the traditional leaderships to call out the protests and demonstrate on the streets, causing these phenomena not to be geographically or culturally limited nor institutionally framed. The internet has brought tools that foster sharing, facilitate civic participation and collective action. Thus, at the beginning of the twenty-first century, social movements have come to play a key role in the democratic state, through the representation of the claims of different sectors of civil society, but are these manifestations indicative of a new civic consciousness?

Keywords: protest, citizenship, civic participation, Portugal

1. Introduction

The beginning of the 21st century has seen numerous public demonstrations take place, both in Portugal and around the world. Media outlets have focused considerable attention on such demonstrations, which has significantly increased their visibility among all sectors of society.

Over the last decade, however, more social movements than ever before have been launched, and there has been a noticeable shift from movements of one class to class movements in which all social categories are represented and which challenge the democratic process itself. The movements of 12th March 2011 ('Scratch Generation') and 15th September 2012 ('To Hell with the Troika') exemplify the discontent felt by many Portuguese citizens. These movements brought many people to the streets to protest against government policies and to call for a new political, economic and social model. Movements such as these claim to not be associated with any particular political party, and they pledge to defend secularism and peace, as well as to fight for a fairer world, as was the case with movements such as the 'Indignados' and 'Occupy Wall Street', which rose to prominence in other countries worldwide. The social movements of the 21st century exhibit a different configuration to that of previous social movements, which emerged during the 1960s and were known as the new social movements (NMS), in terms of their organisation, dimensions, dissemination, and national and international media impact. All these differences distance contemporary social movements from previous models. Their greatest novelty is arguably their use of communication technologies and social networks to appear, to acquire visibility, and then to acquire existence, as Hannah Arendt (2005) would say. By using the internet, such movements organised and managed to mobilise thousands of people in several cities in the same country or even in different countries. They reached a size that surpassed both regional and national scales and, hence, became planetary movements seeking new forms of democracy (Farro, 2004), as was the case with the 'Arab Spring'.

Social protest and public protest have always existed in Portugal, although they have intensified significantly over the last decade. It is thus important to verify whether this increase in demonstrations in the public sphere in Portugal is related to a greater degree of civic awareness amongst Portuguese citizens or if it is merely conjunctural, being the fruit of economic

difficulties (e.g. the 2008 global financial crisis) and enhanced technological facilities. To do so, the present study analyses relevant information published by the Portuguese press and applies a theoretical framework derived from the theories of social movements.

2. The movements

2.1. The 'Scratch Generation' movement

In 2011, Portugal was in the midst of a serious economic crisis, which was part of the global financial crisis that had begun in 2008 in the United States (i.e. the subprime mortgage crisis) and then spread to Europe as a result of economic globalisation. The Portuguese government tried to quell the crisis by means of austerity measures such as tax increases, wage freezes, pension and career advancements, and price increases.

However, despite these austerity measures, the crisis showed no signs of abating. In light of the failure of the government's economic measures, the spectre of foreign aid hovered over the Portuguese. It was in this context of economic insecurity and political mistrust that the so-called 'Scratch Generation' movement, which campaigned against unemployment and precariousness, was born (Baumgarten, 2013). The movement grew from the challenge launched by young people via social networks and it essentially targeted young people. The promoters of the 'Scratch Generation' were themselves young people, graduates and symbols of the generation, given their status as trainees, fellows or unemployed. They felt angry that their generation was experiencing difficulties becoming economically independent of their parents despite their academic training, and they shared their anxieties with other young people via the internet. They decided to send an open letter to civil society explaining the need to address the precarious working conditions in Portugal, where qualifications, skills and experience were not mirrored by salaries and decent contracts, and where they were pejoratively referred to as 'the generation of five hundred euros'. In fact, in their Facebook appeal, they stated, 'We, the unemployed, "five-sevens" and other poorly paid, disguised slaves, subcontractors, contractors, false self-employed, intermittent workers, interns, trainees, student workers, students, mothers, parents and children of Portugal, let us express our discontent' (Scratch Generation Protest Blog, 2011). The protest stemmed from the right of all citizens to demand education and employment, an expression of citizenship that was not subsumed by the right to vote, as one young person commented. It was also an affirmation of the young people's distrust in the political system; therefore, they affirmed that the movement was to be 'a nonpartisan, secular and peaceful protest, that tries to reinforce participatory democracy in the country' (Scratch Generation Protest Blog, 2011). Comments and behaviour such as this corroborate the opinion of researchers that 'the most educated young people are more active, have more civic awareness and make more use of citizenship rights' (Ferreira & Silva, 2005, p. 146).

The aim of the 'Scratch Generation' movement was, according to the promoters, to contribute to 'triggering a qualitative change in the country' (Scratch Generation Protest Blog, 2011). They wanted to find solutions to Portugal's problems and to then be part of those solutions. Lacking prospects for the future and in a profound state of frustration, they felt the need to unite and to manifest in the public sphere their claims to rights that were being withheld.

The lack of employment experienced by this generation of qualified young people was not merely a conjunctural problem, since, due to the massification of higher education, there had been an exponential increase in the number of students during the 1990s (Abrantes, 2003). In fact, the number of students in higher education in Portugal rose from around 11,000 to 60,500 during that decade (Abrantes, 2003), making it increasingly difficult for graduates to enter the labour market. Of course, at the time the movement was launched, this structural issue was the least of the young people's worries.

Thus, on 12th March 2011, at 3 pm, the squares in the main cities of Portugal were filled with 'Scratch Generation' protesters. Demonstrations were held in Lisbon, Porto, Braga, Coimbra, Viseu, Castelo Branco, Faro, Funchal and Ponta Delgada. The places chosen for the protests were the centres of cities, squares and streets that were historically emblematic.

In Lisbon, the largest demonstration took place on Avenida da Liberdade. Approximately 200,000–500,000 participants (the number varies according to the information source, that is, the police or the organisation itself) protested against the precarious situation in which they lived. Crowds came from all sectors of society, with the number of demonstrators far exceeding the expectations of both the young promoters and the general participants. The demonstration was surprising not just due to the number of participants, but also due to the different age groups that took part (Jornal de Notícias, 2011). A few years earlier, this kind of intergenerational union was almost unthinkable in the context of a single protest. In 1994,

secondary school students took part in several demonstrations against the global tests that had to be passed in order to enrol in university. As a result, the older generations labelled them the 'scratchy generation'. This pejorative labelling was generalised in the society of the time, which created a generational gap that would eventually undo itself, at least momentarily, during the demonstration of 12th March 2011. On that day, acting together and taking part in the same march, were not only those directly affected by the economic crisis (i.e. young people), but also the parents and grandparents of those who were 'unemployed and precarious', who had to continue to financially support children who should have been able to self-sustain. The complaints of the young were also the complaints of their older relatives, since the professional instability experienced by the young resulted in the economic degradation of previous generations. As mentioned in an article in *Visão* (2011a, p. 70), one in five young people aged 25–35 was at that time economically dependent on family. In some cases, even at the age of 40, people reported having no stable salary and so no ability to fund their own house or family (*Diário de Notícias*, 2011), although many of these people held higher education qualifications. During the last quarter of 2010, the number of unemployed graduates rose to 68,500, which was equivalent to 11.2% of all unemployed people (Loureiro, 2012, p. 337). With so many living in such precarious economic circumstances, reports of individual injustices quickly circulated via social media, eventually being transformed into a collective injustice. This was reflected in the posters people held during the demonstration, which featured slogans such as 'Living Communism - Spreading Anarchism', 'Capitalism is Abominable', 'The Country is Scratchy' and 'Scratchiness is Precariousness'. Several politicians also joined the Lisbon march despite it being a non-partisan movement, as did members of right-wing extremist groups, anarchists and members of the LGBT community (*Jornal de Notícias*, 2011).

The solemn parades of yesteryear, which progressed at a slow and almost reverent pace, have now given way to demonstrations in which music and dance add a certain colour to the event. Although these manifestations of protest in Portugal had a playful component, the spectacularity they exhibited was only modest when compared to the performances seen during other European anti-globalisation mobilisations, in which masks and disguises alluded to a certain subversion of the carnival theme, which gave the events a high level of visibility in traditional media outlets.

As an article in *Visão* (2011b) said of the demonstration seen in Lisbon and which also applied to those in other cities:

It is not only a manifestation, but several: the manifestation of precarious workers, the manifestation of university students with no future, the manifestation of the unemployed, the manifestation of pensioners by anticipation, the manifestation of pensioners of 200 euros, the manifestation of the unschooled workers ... (p. 66).

The movement was a collective action driven by individual interests. Each individual spontaneously joined in after reviewing the situation, as, just like the organisers, they felt themselves to be without future prospects. Effectively, they lacked a group goal that would keep them together beyond the circumstances of the moment. As Pinto (2011) notes, they took part in the demonstration:

for a future, for a job, for the end of green receipts, out of curiosity or just to see what it was like, for raising the minimum wage, for the father, for the daughter, dancing, singing, applauding, shouting, or even in silence, no one dared to imagine that the voices and words would merge into one message (p. 34).

In recent years, a number of studies have pointed to the distancing of young people from 'traditional' or 'conventional' politics, such as participation in party voting or a party affiliation, and the growing interest among this population in 'unconventional' politics, such as collaboration in organisations or associations and protest actions (Magalhães & Sanz Moral, 2008, p. 27). The popularity of the 'Scratch Generation' movement with young people may be a sign of the divergence of the institutional politics of the democratic state from popular politics, that is, a demonstration that young people have both civic and political awareness, although they distrust the methods of representative democratic politics.

2.2 'To Hell with the Troika - We Want Our Lives'

Less than a month after the 12th March demonstrations, Portugal's need for foreign aid was confirmed. On 6th April 2011, the prime minister requested foreign intervention for the country. The inability to pay the public debt was compounded by the need to reduce the public deficit as well as the need to obtain funds to inject into publicly owned, technically bankrupt companies. The measures agreed between the Troika (the International Monetary Fund, the European Central Bank and the European Commission) and the Portuguese government necessitated extreme austerity, which prompted many Portuguese citizens to join the movement of 15th September 2012.

Given the likely impact of austerity measures, the country responded with a new social mobilisation that, like the 'Scratch Generation' movement, was triggered by interactions via social networks. A group of citizens, representatives of Portuguese society (academics, researchers, artists, etc.), not affiliated with any particular political parties, used social networks to call for a protest motivated by the political context. Their manifesto was as follows:

You must do something extraordinary. We must take the streets and squares of the cities and our fields. Putting together the voices, the hands. It is necessary to do anything against submission and resignation, against the bottleneck of ideas, against the death of the collective will. It is necessary to call again the voices, the arms and the legs of all and all who know that in the streets the present and the future are decided. It is necessary to overcome the fear that has been expertly disseminated and, once and for all, to realize that we have almost nothing to lose and that the day will come already we have lost everything because we were silent and we gave up alone (queselixeatroikablogspot.pt).

The manifesto called for action against the austerity measures imposed by the Troika, which were popularly considered to represent a plundering of the country's resources. In fact, the austerity measures were perceived to have been driving Portuguese citizens and the country itself towards poverty and degradation for more than a year, without leading to any appreciable improvements. The manifesto continues:

... anyone who resigns to govern under the troika memorandum delivers the fundamental instruments for the management of the country in the hands of speculators and technocrats, applying an economic model that is based on the law of the jungle, the strongest, despising our interests as a society, our living conditions, our dignity (queselixeatroikablogspot.pt).

And it ends with a clear call to collective action, 'They divided us to oppress us. Let's get together to get free!'.

Although the movement initially appeared to be spontaneous, that was actually not the case. Since July 2012, activists belonging to the Inflexible Precarious group and other militant organisations had been preparing for a large demonstration. The prime minister would inadvertently give them a nickname when he uttered the phrase 'to hell the elections' in a speech. This phrase was reused to create the slogan 'To Hell with the Troika - We Want Our Lives', which would later be used in opposition to the government (Babo & Silva, 2015). It was assumed that the activists were backed by left-wing political parties, but that was also not the case. The activists' goal was to spread word of a non-partisan demonstration intended to bring together various political sensitivities. Indeed, it was the notion of non-partisanship that attracted people to the movement.

This second movement actually proved to be more effective than the previous one, in terms of both the number of demonstrators and the number of cities in which demonstrations took place. In Lisbon, around 500,000 people gathered in the most representative squares and streets.

Although the 'To Hell with the Troika' movement was formed thanks to the development and diffusion of modern technologies, the activists still felt the need to make use of traditional spaces of protest, just as previous movements had done (Tilly, 2004). The historical places chosen to host the demonstrations, in addition to being indicative of the idiosyncrasy of a people, provided for a kind of encounter between the past and the future. The streets chosen for the demonstrations functioned as symbols of the communal union of yesteryear. Solidarity has always been a fundamental element of collective action, and it has traditionally been constituted in the daily sharing practiced within a community or a workplace. In protest movements such as the 'Scratch Generation' and 'To Hell with the Troika', the solidarity was virtual, as it was based on the anonymity of the mobilisation. Hence, the space of action attained a greater relevance for the purposes of identification. The individualisation of the manifestations is a characteristic of these modern movements, which stands in contrast to the key characteristic of previous movements. The 'I' and the 'other' were easily recognised as the 'we' during the preceding two centuries, having been forged in the struggles shared in the factory, in the daily experiences of the living space, or in the organisation of militancy. Yet, in these two modern Portuguese mobilisations, the individualisation, the anonymity and the impersonality of the relations between the participants stood out.

The 'repertoire' (Tilly, 2004) of the movement would also be reflected in later mobilisations. In 2013, the 'To Hell with the Troika' movement organised two more major demonstrations, one on 2nd March under the slogan 'To Hell with the Troika - The People Rule the Most' and another on 13th October with the motto 'To Hell with the Troika - There Are No Dead Ends'. During these demonstrations, the repertoire of social criticisms increased, as did the demands for solutions to economic and social problems. Although they continued to assert that they were movements of ordinary people seeking to actively participate in the solving of similar problems, a whole political discourse can be found in the groups' manifestoes,

while representatives of political parties took part in the protests and commented on them in the media. The slogans used were intended to rekindle the spirit of the Carnation Revolution of 1974, which resulted in the ending of 40 years of dictatorship. As such, the activists wrote phrases such as 'Soft Customs Have Limits', 'Loose the Grândola that is in You' and 'The People Demand More' on their posters. In the speeches given during the demonstrations, in another allusion to the revolution of 1974, there were constant reminders that the freedoms and rights acquired by the people cannot be reversed in the name of a supranational authority that oppressed and failed to represent the citizens. It was to the streets that the Portuguese returned to relate to one another, and it was on the streets that the freedom of participation in the discussion of public affairs was reaffirmed. The political situation of Portugal in 2012 was completely opposite to that of 1974. The Carnation Revolution overthrew a dictator and instituted a democratic state, but the allusion to the past was intentionally symbolic. The political and social movement that occurred in 1974 had national and international impacts. For some authors, such as Boaventura Sousa Santos (1984), the movement was the 'broadest and deepest in postwar history' (p. 18) due to both its size and its significance. The people took to the streets in support of the military coup. After 40 years of dictatorship, Portuguese citizens finally freed themselves from fear and oppression and demanded democracy. In 2012, the Portuguese people recalled the movement through which they conquered their fear and demanded democracy, and it was in the name of democracy that they returned to the streets. Those who took part in the demonstrations did not feel represented by their leaders and they saw the 'submission' to the Troika's plan as an example of authoritarianism that evoked the situation of the past. Manuel Villaverde Cabral (2004) verified that a kind of administrative despotism maintained the historical distance between the elites of power and the population, with the role of the state oscillating between predator and protector. This finding was even more noticeable in 2012, given the crisis situation.

For António Barreto (2004), democracy is based, among other things, on the consensus of citizens regarding the formation and exercise of political power. Certainly, the 2012 movements in Portugal sharply challenged the way in which the country's political affairs were being conducted.

3. Discussion

Are the above-mentioned movements a demonstration of citizenship and a new form of democratic participation?

According to the classic conception of citizenship, there is a direct link between being a citizen and engaging in political participation. As Aristotle, in his work *Politics*, stated, 'we say that they are citizens who can exercise such public functions' (ed. 1988, p. 1275-1276). In this way, for philosophers of the classical age, the main characteristic necessary to be considered a citizen was participation in the decisions of the political life of the polis, rather than simply the fact of residing in the territory.

However, this concept gradually faded away throughout history, until it resurfaced with the growth of liberalism. It was through the liberal revolutions and the rise of the bourgeoisie in the 19th century that a new relationship was established between citizens and political power, and it was through the growth of democracies that the conception of citizenship, as associated with civic and political rights, became solidified. The first sociological theory of citizenship was offered by Thomas Marshall, who spoke of three types of citizenship rights, namely civil, political and social rights.

In Portugal, full citizenship incorporating all three types of rights, including the political right associated with unrestricted universal suffrage, was only available after 1974, when the Carnation Revolution ended forty years of dictatorship. In fact, the first Portuguese Constitution (1822) had stated that 'all the Portuguese are citizens' (Ramos, 2004), although this idea only covered civil rights, since only a minority then enjoyed political rights and social rights were not yet being discussed. The citizen, as a 'holder of a part of political sovereignty' (Schnapper, 2000, p. 10), only truly came into existence following the establishment of democracy in the country.

After Portugal joined the European Union, the government committed to providing citizenship education, which led to young people becoming more civically, socially and politically aware and, therefore, to them exhibiting a tendency to be more politically active. At the same time, the technological revolution democratised access to information, thereby facilitating the exercise of citizenship and civic participation, which resulted in the organisation of inorganic demonstrations. Effectively, the mobilisation for the discussed demonstrations was achieved through social networks by young people and adults adept in internet activism, although it was not the fact of the connection that triggered the demonstrations on the streets, but rather the feeling that the rights of citizenship were being suppressed, particularly social rights. Accornero and Pinto (2014) showed, based on Tarow's (1998) theory, that these protests formed part of 'cycle of protests against austerity' (p. 398).

Tarrow (1998, p. 42) attributed certain characteristics to a cycle of protest, including the mobilisation of new actors, innovation in terms of repertoires and the elaboration of new cognitive, cultural and ideological structures, which was verified in the present work. The available statistical data reveal that the number of demonstrators increased significantly between 2008 and 2012 in countries severely affected by the global financial crisis, such as Spain, Ireland and Portugal (Accornero & Pinto, 2014). This shows that the situation itself boosted the number of demonstrations; however, people only took to the streets because they were aware of their political and social rights. These 'spontaneous' manifestations reveal a certain 'democratic disaffection', as identified by Magalhães (2005). Although there was social support for democracy, there was also a distancing of citizens from political institutions, which resulted in low levels of political, conventional or other participation (Magalhães, 2005, p. 988).

Nevertheless, it is apparent that these movements reveal civic awareness, while participation in street protests demonstrates democratic dynamism and citizenship.

Final reflection

The protest movements that have occurred in Portugal in recent years, despite the novelty with which they emerged, represent an aspect of the historical contestation that has occurred in the country since the 19th century (Cerezales, 2011; Silva, 2007). The fact that they appeared in a somewhat different form, presenting themselves as nonpartisan, horizontal and without leaders, gave them prominence and visibility, although it did not dethrone or cause to disappear the institutional actors, who continued to be the most demanding sector during the period of crisis (Accornero & Pinto, 2015, p. 406). Social movements emerging from the democratic space claim to have emerged as new forms of political and social struggle, which does not mean that they have been established as political actors and/or representatives of civil society claims, although their actions may have political consequences and social benefits.

These movements of citizens did not achieve much more than to denounce and claim, especially in the case of the mobilisation of the 'Scratch Generation'. According to Maria da Glória Gohn (2014), in these kinds of protests, 'collectives that draw inspiration from various sources, depending on the group to which they belong, do not have ideological or even utopian hegemony, motivating them a feeling of discontent, disenchantment and indignation against economic and political conjuncture' (p. 13). Thus, such movements actually turn out to be very heterogeneous in terms of their forms and resources, organisations, strategies and ideals, and they are often too dispersed to manifest a highly focused objective and to constitute a centre of counterpower (Cefai, 2005, p. 135). Hence, they only have a sporadic mobilisation capacity, except when they are integrated into institutional bodies such as political parties or trade unions.

The speed with which the above-mentioned movements arose and spread across the social networks gave them breadth and dimension, but their discursive content refers to a very concrete national reality (the austerity of the moment) and their focus was more local than global.

The context of the economic crisis and the political difficulties associated with managing it created an ideal context for the emergence of a new social phenomenon, but as the crisis situation dissipated, the inorganic mobilisations disappeared. During the years that witnessed the greatest crisis (2011–2013), the rights of social citizenship were threatened, and the young people of the 'Scratch Generation' as well as the civil servants and retirees experienced a decline in their quality of life when compared to that of previous generations, which motivated them to participate in the demonstrations. At the same time, the majority of citizens who took part in the demonstrations shared a past characterised by active citizenship.

References

- [1] Accornero, G., & Pinto, P. R. (2014). "Brandos costumes?" Protesto e mobilização em Portugal sob a austeridade, 2010-2013. *Estudos Ibero-Americanos*, Porto Alegre, v. 41, n. 2, 393-421.
- [2] Arrighi, G., Hopkins, T. K., & Wallerstein, I. (1989). *Antisystemic movements*. London: Verso.
- [3] Baumgarten, B. (2013). Geração à Rasca and beyond. Mobilizations in Portugal after 12 March 2011. *Current Sociology*, 61(4), 457–473.
- [4] Abrantes, P. (2003). Identidades juvenis e dinâmicas de escolaridade. *Sociologia – Problemas e Práticas*, 41, 93-115.
- [5] Arendt, H. (2005). *A Condição Humana*. Rio de Janeiro: Forense.
- [6] Aristóteles. *Política*. Trad. de Márcio da Gama Kury. 2ª ed. 1988. Brasília: Universidade de Brasília.
- [7] Azevedo, M.C. (2009). *Experiências de participação dos jovens: Um estudo psicológico*. Tese de Doutoramento em Psicologia. FPCEUP, Universidade do Porto, Porto.

- [9] Babo, I., & Silva, C.T. (2015). Public Sphere and collective Action. The Portuguese Movement of the "15th September". *Mediterranean Journal of Social Sciences*. Vol.6, nº 6., S5, 425-435.
- [10] Barreto, A. (2004). A participação e a evolução da sociedade portuguesa. *Tempo de Incerteza*. Lisboa: Relógio d'Água, 301-325.
- [11] Costa Pinto, A.; Almeida, P. T. (2001). Libéralisme, démocratie et émergence de la société civile au Portugal. In Daniel Cefai (org.). *Cultures politiques*. Paris: PUF, pp.503-521.
- [12] Costa Pinto, A.; Magalhães, P.; Sousa, L.; Gorbunova, E. (2012). A qualidade da democracia em Portugal. A perspectiva dos cidadãos. *Workshop The Quality of Democracy in Hard Times*, ICS-UL, Lisboa.
- [13] Cabral, M. V. (2004). Confiança, mobilização e representação política em Portugal, in M. Costa Lobo, Pedro Magalhães e André Freire (eds.), *Portugal a Votos - as eleições legislativas de 2002* (pp. 301-331). Lisboa: Imprensa de Ciências Sociais.
- [14] Cefai, D. (2005) – Os novos movimentos em França. *Revista Crítica de Ciências Sociais*, 72, Outubro, 129-160.
- [15] Cohen, J. (1989). Deliberation and Democratic Legitimacy, in A. Hamlin e P. Pettit, (eds), *The Good Polity. Normative Analysis of the State*. Oxford, B. Blackwell, pp.17-34.
- [16] Farro, A. (2004). Actors, conflicts and the globalisation movement. *Current Sociology*, vol.52. Londres: Sage.
- [17] Ferreira, P.M. & Silva, P.A. (2005). *O Associativismo Juvenil e a Cidadania Política*. Lisboa: Instituto de Ciências Sociais da Universidade de Lisboa.
- [18] Gohn, M. G. (2014). Manifestações de Junho de 2013 no Brasil e praças dos Indignados no Mundo. Pétopolis: Vozes.
- [19] Lévy, P. (2006). Ciberdemocracia. Lisboa: Instituto Piaget.
- [20] Loureiro, L. (2011). O Ecrã de Identificação. Tese de Doutoramento em Ciências da Comunicação. Especialidade em Sociologia da Comunicação e da Informação. Universidade do Minho, Braga.
- [21] Magalhães, P. & Sanz Moral, J. (2008). *Os jovens e a política*. Lisboa: Centro de Sondagens e Estudos de Opinião da Universidade Católica Portuguesa.
- [22] Magalhães, P. (2008). Redes sociais e participação eleitoral em Portugal. *Análise Social*, XLIII: (3.º), 473-504.
- [23] Magalhães, P. (2005). Disaffected Democrats: Political Attitudes and Political Action in Portugal. *West European Politics*, v. 28, n. 5, 973-991.
- [24] Marshall, T. H. (1950; 1992), *Citizenship and Social Class*, Londres, Pluto Press.
- [25] Menezes, I. (2007). A evolução da cidadania em Portugal. *Actas do 3º Encontro de Investigação e Formação: Educação para a Cidadania e Culturas de Formação*, 17-34.
- [26] Palacios Cerezales, D. (2011). *Portugal à coronhada. Protesto popular e ordem pública nos séculos XIX e XX*. Lisboa: Tinta da China.
- [27] Pinto, M. & Sousa, H. (2011), Foreword, in M. Pinto e H. Sousa (eds.), *Communication and Citizenship – Rethinking crisis and change*, Coimbra: Grácio Editor.
- [28] Ramos, R. (2004). Para uma história política da cidadania em Portugal. *Análise Social*, vol. XXXIX (172), 547-569.
- [29] Silva, C. T. (2007). *Movimentos sociais no Douro no período de implantação do liberalismo (1834-1855)*. Porto: Gehvid.
- [30] Silva, C.T. (2014). Social Movements in Contemporary Portugal. *European Journal of Social Sciences Education and Research* (EJSER). Vol.1, nº2. Rottenburg: European Center for Science Education and Research, 36-43.
- [31] Schnapper, D. (2000). *Qu'est-ce que la citoyenneté?*. Paris: Gallimard.
- [32] Svampa, M. (2008). *Cambio de Época: movimientos sociales y poder político*. Buenos Aires, Siglo Veintiuno Editores.
- [33] Tarrow, S. (1998). *Power in Movement: Social Movements and Contentious Politics*, Cambridge, Cambridge University Press.
- [34] Tilly, C. (2004), *Social Movements: 1768 – 2004*. London: Paradigm Publishers.

Magazines

- [1] Jornal de Notícias, ano 2011-2012
- [2] Diário de Notícias, ano 2011-2012
- [3] Revista Visão, ano 2011

Providing the Sustainability of Meerschaum as An Intangible Cultural Heritage: Eskisehir Example

Gökçe Yüksek

Associate Professor, Department of Tour Guiding Tourism Faculty, Anadolu University, Eskisehir, Turkey.

Abstract

Meerschaum with a history of three hundred years also keeps a historical secret. Meerschaum was introduced to the Austrians during the Siege of Vienna by the Jannisaries of the Turkish army. Since those days up to present, you come across the word "white gold". The term sounds more suitable for a silvery substance, not a rock. There are many formal answers to this question. However, there is a distinct property which makes it different from other stones. This stone which resembles chalk is much lighter and softer. This property makes it easy to work on and shape. The white treasure of Eskisehir is soft and easy to work on when mined, but it hardens as a results of exposure to air. Apart from the white color, which its name is derived from, it is found in yellowish, gray and reddish colors. The raw materials of meerschaum is extracted in 8 villages which are 35 kilometers away from Eskisehir. This stone is extracted from shafts whose depths are measured by the unit "overarm". The depths of vertical shafts vary between 5 to 33 overarms. The highest-quality meerschaum is extracted from shafts of over 20 overarms. The technique used in extracting meerschaum is not a modern one. The access to the shafts is through rope ladders. Because these stones are deep below, it is hard to extract them from abundant water. The aim of this study is to transform meerschaum as sustainable intangible cultural heritage. The sub-purposes of the study are that differentiation of limited and traditional product varieties, development of different and creative products and increasing national and international recognition with different promotional tools. In this qualitative study, data were obtained from secondary sources and with in-depth interviews. In-depth interviews were conducted with the craftsmen of meerschaum. The data obtained from the craftsmen were analyzed and the results of this study is that providing the sustainability of meerschaum as a cultural heritage, meerschaum and handicrafts of meerschaum should be done innovative methods. Promotion and marketing studies should be done for increasing reputation of meerschaum. The innovations should be done about selling meerschaum products.

Keywords: Sustainability, meerschaum, intangible cultural heritage, innovation, Eskisehir.

