



**SAPIENZA**  
UNIVERSITÀ DI ROMA



**MCSER**

# **Book of Proceedings**

**2° International Conference on Human and Social Sciences**

**ICHSS 2012 - March 23-24, 2012, Tirana, Albania**

**VOLUME 8**

**Edited by:**

**Antonello Biagini  
Giovanna Motta  
Andrea Carteny  
Alessandro Vagnini**

Piazza S. Giovanni in Laterano, 18/B  
Cap. 00183, Rome, Italy

ROME

First Published 2012

© 2012 MCSER

All rights reserved. No part of this publication may be reproduced, stored in a retrieval system, or transmitted in any form or by any means, electronic, mechanical, photocopying, recording or otherwise, without either the prior written permission of the publisher. Applications for the copyright holder's written permission to reproduce any part of this publication should be addressed to the publishers.

Proceedings of the 2<sup>o</sup> International Conference on Human and Social Sciences  
Volume 8

Editors: A. Biagini, G. Motta, A. Carteny, A. Vagnini

ISBN: 978-8-634982-10-7

Doi:10.5901/ichss-2012-vol-08

Disclaimer

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 Mediterranean Center of Social and Educational Research and Sapienza University of Rome.

Typeset by MCSER Publishing, Rome  
Printed and bound by Atena Group, Italy

# International Scientific Committee

## ICHSS 2012

**Giovanna Motta, Chair of Scientific Committee**  
Sapienza University of Rome, Italy

**Antonello Biagini**, Sapienza University of Rome, Italy  
**Toader Nicoara**, Babes-Bolyai University, Cluj-Napoca, Romania  
**Radoslav Raspopovic**, University of Monte Negro, Monte Negro  
**Ljubomir D. Frckoski**, Ss. Cyril and Methodius University in Skopje, Macedonia  
**Sibylle Heilbrunn**, Ruppin Academic Center, Emek-Efer, Israel  
**Sule Kut**, Istanbul Bilgi University, Turkey  
**Arda Arikan**, Akdeniz University, Antalya, Turkey  
**Andrea Carteny**, Sapienza University of Rome, Italy  
**Maryam Chkhartishvili**, Tbilisi State University, Georgia  
**Jozsef Pal**, University of Szeged, Hungary  
**Godfrey Baldacchino**, University of Malta, Malta  
**Dimitri A. Sotiropoulos**, University of Athens, Greece  
**Werner J. Patzelt**, University of Dresden, Germany  
**Vincent Hoffmann-Martinot**, University of Bordeaux, France  
**Mohamed Ben Aissa**, University of Tunis, Tunisia  
**Marco Cilento**, Sapienza University of Rome, Italy  
**Werner J. Patzelt**, University of Dresden, Germany  
**Emanuele Santi**, African Development Bank, Tunis, Tunisia  
**Kamaruzaman Jusoff**, Universiti Putra Malaysia  
**Nkasiobi S. Oguzor**, Federal College of Education (Technical), Omoku Rivers State, Nigeria  
**Jacinta A. Opara**, Universidad Azteca, Mexico/President, African Association for Teaching and Learning

### Organization Committee

**Sokol Pacukaj, Chair of Organising Committee**  
Aleksander Moisiu University, Albania

**Lisa Licata**, Sapienza University of Rome  
**Alberto Becherelli**, Sapienza University of Rome  
**Alessandro Vagnini**, Sapienza University of Rome  
**Giuseppe Motta**, Sapienza University of Rome  
**Alessandro Pistecchia**, Sapienza University of Rome  
**Antonello Battaglia**, Sapienza University of Rome



## TABLE OF CONTENTS

<b>The Mediterranean Muslim Navy and the Expeditions Dispatched against Constantinople</b> <i>Theodora Zampaki</i>	<b>9</b>
<b>Learning to 'Parenting': Peer-to-Peer Educational Actions in the Italian Associations of Adoptive Families</b> <i>Rossana Di Silvio</i>	<b>18</b>
<b>Mobbing in the Academe: The Case of Albanian Universities</b> <i>Migena Buka, Theodhori Karaj</i>	<b>26</b>
<b>NATO Enlargement: Past And Present Challenges</b> <i>Inida Methoxha</i>	<b>30</b>
<b>Portuguese Diaspora Narrative</b> <i>Padrão, Maria Helena, Vieira, Célia, Rio Novo, Isabel, Oliveira Clementina, Padrão, Reinaldo</i>	<b>35</b>
<b>The Romans as Viewed by Arabic Authors in the 9th and 10th Centuries A.D.</b> <i>Elias Giannakis</i>	<b>41</b>
<b>Young People and Trade Unions: New Challenges for a Generational Change</b> <i>Giovanni Castiglioni</i>	<b>48</b>
<b>Expectancy Outcomes and Self-Reported Alcohol Involvement in Educated Albanian Young Adults</b> <i>Erika Melonashi, Skerdi Zahaj, Greta Hysi, Ridvan Peshkopia</i>	<b>52</b>
<b>Personality, Preferred Leadership Style and Principal Preparation</b> <i>Peggy B. Gill, Genie B. Linn, Ross Sherman</i>	<b>60</b>
<b>Languages Exchanges, Borrowings</b> <i>Fjona Cukani, Gladiola Elezi</i>	<b>69</b>
<b>Pro-Life Activism, Abortion and Subjectivity Before Birth: Discursive Practices and Anthropological Perspectives</b> <i>Claudia Mattalucci</i>	<b>76</b>
<b>Games in Foreign Language Classroom</b> <i>Biljana Milatović</i>	<b>84</b>
<b>The Transition of Plumeria in Thai Society. How Globalization and Consumerism Shape Local Customs</b> <i>Amata Jantarangsee</i>	<b>88</b>
<b>Autism Spectrum Disorders and Epilepsy</b> <i>Migena Kika, Venetike Merkaj, Artur Rada</i>	<b>94</b>

<b>The Protection of the Right to Health Under Article 2 of the European Convention on Human Right</b>	<b>99</b>
<i>Marija Milenkovska</i>	
<b>Post Partum Depression and Social Support. An Exploration of Experiences of New Mothers with Postpartum Depression in Tirana</b>	<b>107</b>
<i>Daniela Meçe</i>	
<b>A Competitiveness Analysis of Durres City</b>	<b>112</b>
<i>Boriana Golgota, Alma Golgota, Ermal Spahiu</i>	
<b>Between two Opposite Nationalisms: The Friulan Community of Gorizia</b>	<b>117</b>
<i>Chiara Sartori</i>	
<b>Greek Minority in Albania: Exclusion or Inclusion?</b>	<b>123</b>
<i>Marsela Sako</i>	
<b>Some Approaches Between Cham, Arbëresh and Arvanitika within the Standard Literary Language</b>	<b>126</b>
<i>Edlira Troplini (Abdurahmani)</i>	
<b>From Performance Sports to Sports for All: Romania 1945-1965. Legal Aspects</b>	<b>134</b>
<i>Alexandru -Rares PUNI</i>	
<b>Children 7-9 Years of Age Coping with a Parent Diagnosed with Cancer</b>	<b>141</b>
<i>Genta Kulari</i>	
<b>Motivation for Effectiveness of an Art Education Program</b>	<b>148</b>
<i>Fjoralba Satka</i>	
<b>The Alternative Renewable Energy and their Developing Perspectives in Albania</b>	<b>158</b>
<i>Stela Sefa, Anjeza Gjini</i>	
<b>Albania's Internal Instability and the Position Held by the Italian Government in the Years (1920-1924)</b>	<b>165</b>
<i>Dashnor Ibra</i>	
<b>Society under Sustainable Developments Prospective in District of Elbasan, Albania</b>	<b>171</b>
<i>Evisa Duka</i>	
<b>Social and Educational Exclusion of Roma in Macedonia with Focus on Roma Children on the Street</b>	<b>177</b>
<i>Natasha Bogoevska, Svetlana Trbojevik</i>	
<b>Media and Environment: A Case Study at Portuguese Television</b>	<b>186</b>
<i>Joana Padrão</i>	
<b>Scaffolding as a Bridge to Literature for Science and Engineering Students</b>	<b>195</b>
<i>Sompatu Vungthong</i>	
<b>Microevolution Processes in Fieri Population as Estimated by Isonymy Techniques</b>	<b>201</b>
<i>Silvana Turku, Hyrida Basha, Ilia Mikerezi</i>	
<b>Some Ecological Issues In a Few Luigi Pirandello's Short Stories</b>	<b>209</b>
<i>Nikica Mihaljević</i>	
<b>Gender Differences in Language as Affected by Social Roles</b>	<b>215</b>
<i>Eglantina Hysi</i>	
<b>Albanian Issue and American Diplomacy in the Paris Peace Conference in the Light of New Historical Sources</b>	<b>220</b>
<i>Majlinda Peza (Perriu), Andriola Morina (Kambo)</i>	
<b>The Problems of Secularism in the Albanian School System in 1920 -1930's</b>	<b>228</b>
<i>Lorena (Gjini) Dervishi</i>	

<b>Impact of Behavioral Problems to Special Needs Pupils</b>	<b>232</b>
<i>Donika Dardha, Mariela Burda, Aleksandra Piluri</i>	
<b>Italian Presence in the Albanian Economy Between First and Second World War</b>	<b>238</b>
<i>Sokol Pacukaj</i>	





## The Mediterranean Muslim Navy and the Expeditions Dispatched against Constantinople

Theodora Zampaki

PhD Candidate in Graeco-Arabic Studies  
Faculty of Philosophy, University of Ioannina, Greece  
E-mail: dzampaki@yahoo.gr

---

**Abstract:** *The aim of this paper is to present an account of the information we find in various Arabic sources of the early period of Arabic historiography on the preparation of a military naval force and the expeditions launched against Constantinople during the period of the early expansion of the Muslim Arabs. Arabic sources give various pieces of information on shipyards, ports as well the recruitment of local men both in Syria and Egypt in the preparation of a military fleet by the Arab Muslim leaders. The Byzantine naval military bases in Syria and Egypt were taken by the Arabs in the early 7th century, and local men who served the Byzantines before, then joined the Arabs. These Arab naval forces were not only engaged in a maritime conflict with the Byzantine fleet in the East Mediterranean but also took part both in the expeditions launched against Byzantine territories and especially in the early sieges of Constantinople, the ultimate aim of all preparations. For the Arabs, the significance of Constantinople was based not only on its political and cultural prestige but also on its material affluence. For this reason, four times it was the aim of Arab Muslim forces sent by Arab leaders in Damascus of Syria. Indeed, the Arab navy played an important role in the East Mediterranean conflict and the expeditions against Constantinople, which are celebrated both in Muslim history and legend, have found their way into the Muslim eschatological literature as well.*

**Keywords:** *Arab historians, Mediterranean sea, Muslim Navy, Constantinople, Arab Expeditions.*

---

### 1. Introduction

When one studies the history of the peoples who lived around the coasts of the Mediterranean in the period between A.D. 7<sup>th</sup> to 10<sup>th</sup> centuries, he is immediately struck by the religious divide between Christians on the one hand and Muslims on the other. This fact has its origins in the events of the seventh century, when the peoples around the coasts of Mediterranean Sea were overwhelmed by new political, social and cultural changes. The Mediterranean Sea was no longer the *mare nostrum*. The clash between Byzantium and the Arabs in the Central Mediterranean appears to us first of all as a continuous struggle for naval supremacy, in fact a struggle for the actual domination over the sea routes. It also seems natural to suppose that this division into what can easily be represented as two mutually hostile religious blocks must have had a "naval dimension". The frontiers between these two broad divisions might shift from time to time. One group or the other would be dominant at different periods but in essence conflict at sea would be the story of struggle to obtain and maintain this dominance.

### 2. The Caliphate's expansion by sea

The Arabs had first approached sea power with diffidence and considered it a purely subservient function of their conquests by land; but it speedily gained importance under the early Umayyads, whose Mediterranean vocation has been stressed by many historians and whose conscious purpose of supplanting Byzantium has been illustrated by Gibb (1958). This consciousness of belonging to the Mediterranean, and plans for expansion in it, were abandoned with the fall of the Umayyads in A.D. 750. The emergence of the Abbasids marked the final orientalization of the Caliphate. It had been the heir and the rival of Byzantium; now it became the continuator of Asiatic traditions - in the first place those of the Sassanids. The Abbasid state, even in its heyday, was entirely continental. It had no war fleet of any importance in Mediterranean. It liquidated Maghrib, or at least suffered it to become detached from the Empire. In brief, it turned its back on the Mediterranean. Cyprus saw a shared condominium of power between the Abbasid Caliphate and Byzantium (Christides, 1984: 168-72; Jenkins, 1951-53; Kyrris, 1984). But the heritage of Mu'awiya, Walid, and Maslama passed into other hands, precisely through the disintegration of the great imperial structure after the Umayyad period. Admittedly with more limited means and aims, smaller but more organic formations took up the expansion by sea of the Islamic forces, which appeared increasingly indispensable to the continuation of conquest (Gabrieli, 1964).

### 3. Factors contributed to maritime activity in the Mediterranean

An understanding of the imperatives driving maritime activity in this area at these dates, however, depends on the discussion of several factors besides religious differences. First of all, the unchanging imperatives of the physical world, the configuration of the coastline, its capes, bays and islands, the currents and the winds need to be considered. Secondly, there are questions of politics or of the location of power, the aims and skills of rulers and their possible preoccupations elsewhere than in the Mediterranean. Thirdly, there are the imperatives of logistics and economics. Did any area have great advantages in ship types? Was seaborne trade the real issue underlying all others, with the urge to seize a commercial advantage, the root cause of much conflict at sea? (Rose, 1999: 561-62).

### 4. The Mediterranean Muslim Navy

Islam was to challenge Christendom at sea in the Mediterranean for a thousand years. In the early Middle Ages, *pace* the great naval assaults on Constantinople itself in 673-79 and 717-18, the most serious threat from Islam developed in the ninth and tenth centuries. During that period Muslims were able in some cases to capture and hold, and in other cases to compromise seriously Christian authority over all of the islands and some of the important mainland regions and bases along the trunk routes of the sea. The operations of the Muslim fleets took the form of corsair cruises by single ships or small flotillas, raids on coasts and islands for booty and slaves by *ghāzī* squadrons pursuing the *ghazw* of *jihād*, and full-scale invasions by large fleets. Their *ghazw* was a form of *jihād*, perhaps the pre-eminent form, designed and intended to advance the frontiers of the Muslim world, the *dār al-Islām*, into the world of war, the *dār al-ḥarb*. It does seem, however, that in composition and tactics Muslim flotillas were quite similar to those of their Byzantine opponents. Since much of their activity consisted of raiding, Muslim Mediterranean flotillas of warships included more fast, oared vessels and fewer sailing *naves* than was the case for their Byzantine naval rivals. But the overall organization of Muslim fleets very much resembled that of Byzantine fleets. Such operations posed extremely serious threats to Byzantine shipping (Pryor, 1988: 102).

There were, however, also several differences between these two naval establishments. During the Umayyad period, there is no evidence that Arab ships ever used Greek fire, which remained Constantinople's secret weapon. In addition, the Arabs suffered from a severe deficiency in wood necessary for naval construction, especially in the eastern Mediterranean (Lewis and Runyan, 1990: 41-61).

It was of this period that the Arab historian and philosopher Ibn Khaldūn (A.H. 732-84 /A.D. 1332-82) wrote later that: "... the Muslims gained control over the whole Mediterranean. Their power and domination over it was vast. The Christian nations could do nothing against the Muslim fleets, anywhere in the Mediterranean. All the time, the Muslims rode its waves for conquest." (Ibn Khaldūn, 1958: II. 41; Gabrieli, 1964). When Ibn Khaldūn referred to Muslim control of the seas in his period, what he really meant, whether he realized it or not, was that Muslim territorial gains along the trunk routes had given Muslim shipping a freedom to move virtually wherever it liked in the Mediterranean and had denied that same freedom to Christian shipping. Muslim sea power contributed greatly in this period towards making it a prosperous one for the commercial economies of various Muslim states and towards promoting Muslim maritime traffic throughout the Mediterranean (Pryor, 1988: 106 n. 13; Ahrweiler, 1975: 15).

The Muslims came closest to achieving their goals in the first two to three decades of the eighth century, after which their expansion slowed down. They did completely overrun the Persian Empire. The first three Arab civil wars, A.D. 656-61, 680-92, 747-51, drastically hampered the Muslims' offensive ability and their ability to pursue their strategic program. Their failure resulted more from their own internal dissensions than from the recuperative powers and military adaptations of their opponents in the seventh and early eighth centuries. The high water mark of military expansion against Byzantium was probably the first or second siege of Constantinople (A.D. 674-78, or 717-18), although others might argue for their zenith at the time of their operations north of the Pyrenees in the early eighth century. In any case, the first Muslim civil war seriously arrested the growing military momentum of the Muslims (Kaegi, 1992: 243).

### 5. Constantinople: Which was the Arabs' motive to conquer it?

From the earliest times, Constantinople had been the ultimate goal of the Muslim conquests, and its continuous presence in the Arabic Islamic texts throughout the medieval period reflects its symbolic importance as an ideal city representing the totality of the achievements of a grandiose Christian civilization. With the conquest of the Byzantine capital, one of the inveterate dreams and most cherished goals of Islamic ideology were to be realized. The focus of the early references to Constantinople was on its ultimate conquest. This concern was real since several Muslim armies besieged and seriously

threatened the city in the first/seventh and second/eighth centuries. The tenacious resistance of the Byzantines relegated the conquest of the Byzantine capital to apocalypticism. In the eyes of both Byzantines and foreigners, Constantinople was an epitome of the eastern Roman Empire, representing the entire complexity of the empire's power structures, social practices, religious norms, and artistic canons (Simeonava, 2000). Constantinople had survived the successive attempts of Muslim armies to capture it.

When reading Arabic-Islamic medieval literature, it is impossible to avoid noticing the special mystique that Constantinople held for the Arab Muslims. The authors were practically unanimous in declaring that no other place in the world was comparable in size, in geographical location, and in importance (al-Muqaddasī, 1906: 147-48). The third/ninth and fourth/tenth century geographical manuals determined later perceptions of the Byzantine capital, since works from the period became points of reference for subsequent Arabic-Islamic writings on the city. In writing about Constantinople, Arab Muslims were not only reacting to the city's physical presence. They were also responding to its literary and historical associations. It is therefore crucial to recognize that the perception of space was shaped by subjective factors, for space is not only part of the material world but is part of the world of imagination, as well. The texts and the discourses contained within them convey the unmistakable ambiguity and complexity that underlay the Arab Muslim attraction to, and understanding of, the Byzantine capital. This intricate image did not go unnoticed by contemporaries. For instance, the fourth/tenth century geographer, al-Muqaddasī, observed that controversy and fabrications about Constantinople abounded among Muslims, especially with respect to its size, buildings, and conditions (al-Muqaddasī, 1906: 147-48).

Knowledge of the Byzantine Empire meant knowledge of its boundaries, countryside, and cities, as well as the routes and mountain passes leading to it, and especially to its capital. For Muslim geography, Constantinople is located at that place where the continent extends to Rome and the land of the Franks, to the east is the land of the Turks. It is surrounded by a canal to the east and north, on the southern and western sides, it touches the land (al-Mas'ūdī, 1967: 139; Ibn Khurradādhbih, 1889: 104-5).

For the Arabs, the significance of Constantinople lay as much in its political and cultural prestige as in its material affluence and magnificence. This was especially true in the early days of Muslim expansion and during the consolidation of the Muslim state. The ambition of the first-century caliphs seem to have been nothing less than the establishment of their power in Constantinople, for the city was the natural focus of their growing empire and thus the target of several military campaigns. But with the solidification of the structure of the Islamic empire, Umayyad policy began to disengage itself from Byzantine tradition. Furthermore, the failure of repeated attempts to conquer Constantinople together with the transfer of the Muslim capital to Iraq – moving the empire's center away from the Byzantine frontier – had the effect of distancing the dream of the city's conquest, rather than strengthening Muslim resolve to make it reality by employing forces and efforts in a continuous and organized fashion.

## 6. A Further Study Objective

Apart from the naval struggle, this article aims at presenting the accounts found in various Arabic sources on expeditions launched against Constantinople during the period of the early expansion of the Muslim Arabs. The bulk of our scholarship linking Byzantines with Muslims focuses on their interactions as military and religious antagonists, or their diplomatic and commercial exchanges, or the occasional osmosis of cultural influences across frontiers that were, more often than not, barriers rather than bridges. Nonetheless, at the margins of this corpus, one finds a smattering of discussion and fragments of evidence pertinent to our theme, above all in the incomparable *oeuvre* of Marius Canard (1926).

### 6.1 Arabic sources

The Muslim authors give various pieces of information on the expeditions and sieges of Constantinople. Such Arabic accounts date back to the middle of the 7th century A.D. In this paper the expeditions against Constantinople as accounted by Arab historians such as al-Ṭabarī are categorized and described thoroughly (forces, arms, initial stages, duration, aids, effects, etc.).

### 6.2 Research Method

I discuss the causes, the preparation of the expeditions, the war operations as well as the various anecdotes and legends connected with them. Indeed, the expeditions against Constantinople are celebrated both in Muslim history and legend and have found their way into the Muslim eschatological literature. In this paper, there are analyzed extensively the

various Muslim sieges of Constantinople as described through the narrations of the Arab authors. Their causes are discussed, their expeditions and operations are detailed, and various anecdotes connected to them are related. Indeed, these events are celebrated both in history and in legend and have even found their way into eschatological literature (El Cheikh, 2004: 62).

## 7. The Muslim expeditions against Constantinople as described in Arabic historiography of the early period

In all there were four distinct expeditions which reached Byzantium. The first three were sent under the Umayyads by Mu'āwiya and by Sulaymān. The first was in A.H. 34 / A.D. 655 under Mu'āwiya, the second in A.H. 48-49 / A.D. 668-69 under the leadership of the crown prince Yazīd, the third attack on Constantinople was made in the so-called seven years' war (A.H. 54-60 / A.D. 674-80) (Bury, 1899: II. 310 n. 4), which was waged mainly between the two fleets before Constantinople and the last great siege of Constantinople was conducted in A.H. 98-99 / A.D. August 716 – September 717) under Maslama. Of the four only two involved real sieges of the city: one by Yazīd (49/669) and the other by Maslama (98/716).

### 7.1 The first Muslim expedition against Constantinople (A.H. 34 / A.D. 655)

Twice did Mu'āwiya stretch out his mighty arm against Constantinople. The main object of these raids into *Bilād al-Rūm* (the territory of the Romans, Asia Minor) was of course the acquisition of booty, though the dim spectacle of Constantinople may have beckoned beyond in the distant background. As early as A.H. 34 (A.D. 655), while Mu'āwiya was still governor of Syria under 'Uthmān, his fleet under the leadership of Busr b. Abī Arṭāh (Ibn 'Abd al-Ḥakam, 1964: 189-90; Ibn Ḥajar, 1907-9: I. 153) in co-operation with the Egyptian fleet under 'Abd Allāh b. Abī Sarḥ met the Greek navy led by Emperor Constans II (r. A.D. 641-68), son of Heraclius, in a naval battle, known as the Battle of Phoenix, off the coast of Lycia and scored the first great naval victory of Islam. This maritime engagement is referred to in Arabic chronicles as *Dhāt al-Ṣawārī* (i.e. "The Battle of Masts") either after the name of the place itself, which is said to have been rich in cypress trees from which masts (*ṣawārī*) could be fashioned, or because of the number of masts of the many ships engaged. The Arabs transformed the sea fight into a hand-to-hand encounter by tying each Arab ship to a Byzantine vessel (Ibn 'Abd al-Ḥakam, 1964: 190). The battle proved a devastating defeat, a second Yarmūk; the Byzantine forces were completely destroyed (Theophanes, 1883-85: 245-46, 332). The Arabs, however, did not take advantage of the victory and push on to Constantinople, probably because of the murder of 'Uthmān, which occurred about this time, and other concomitant civil disturbances (Hitti, 2002: 200-1). The Byzantine defeat opened the eastern Mediterranean to further Muslim expansion. However, by A.D. 656, the Muslim offensive stalled as the ascension of 'Alī b. Abī Ṭālib to the caliphate split the Muslim community and led to a Muslim civil war that lasted until A.D. 661 (Canard, 1926: 63-7).

### 7.2 The second Muslim expedition against Constantinople (A.H. 48-49 / A.D. 668-669)

After the assassination of caliph 'Alī in 661, Mu'āwiya became caliph and launched a new offensive against the Byzantine Empire, seizing the city of Calcedon on the Bosphorus in 668. The following year, the Muslims crossed the Bosphorus to attack the Byzantine capital, Constantinople, but were repelled by the Byzantines at Amorium. The Muslims first appeared before Byzantium itself in 669 under the leadership of Mu'āwiya's son Yazīd, the future caliph Yazīd I. Many times was Constantinople the aim of attacks by Umayyad forces, the only occasions on which Syro-Arabs ever succeeded in reaching the high triple wall of the mighty capital were in the years A.D. 669, 674-680 and 716-717. The first was in A.H. 49 / A.D. 669 under the leadership of the crown prince Yazīd, whose warriors were the first ever to set eyes on the great Byzantine City. The expedition of Yazīd and Abū Ayyūb al-Anṣārī against Constantinople in the year A.H. 48-49 / A.D. 668-669 resonates in the Arabic sources. According to al-Ṭabarī, "The raid of Yazīd b. Mu'āwiya against the Byzantines occurred during this year. He reached Constantinople (*Qusṣanīniyya*) accompanied by Ibn 'Abbās, Ibn 'Umar, Ibn al-Zubayr, and Abū Ayyūb al-Anṣārī" (al-Ṭabarī, 1987: XVIII. 94). The siege laid by Yazīd and Faḍlāh in the spring of 669 was raised in the summer of the same year. Byzantium had a new and energetic emperor, Constantine IV (A.D. 668-85). "In legend Yazīd distinguished himself for bravery and fortitude below the walls of Constantinople and earned the title *fatā' al-'Arab* (the young champion or hero of the Arabs)" (Hitti, 2002: 201).

### 7.3 The third Muslim expedition against Constantinople (A.H. 54-60 / A.D. 674-680)

During the seven years' war of A.D. 674-680 and in the reign of the Emperor Constantine IV, Constantinople was attacked from the sea by Yazīd again. In 674, the Muslims attempted to seize Constantinople by a prolonged siege but failed. At his time, the attack on Constantinople was waged mainly between the two fleets before Constantinople. The Arabs had secured a naval base in the Sea of Marmara on the peninsula of Cyzicus, mistaken for "the isle of Arwād" (Theophanes, 1883-85: 353-54; Conrad, 1992: 317-401; Hitti, 2002: 202-3) in the Arab chronicles. This served as winter headquarters for the invading army, whence hostilities were resumed every spring. The Arab accounts of these campaigns are badly confused in our sources. The use of Greek fire is supposed to have saved the city. The Greek accounts dilate on the disastrous effect of this fire on the enemy ships. In 677, the Byzantine navy decisively defeated the Muslim navy in the Sea of Marmara, which greatly contributed to a lifting of the siege the following year. As a result, the Muslim advance in Asia Minor and the Aegean was halted, and an agreement to a thirty-year truce was concluded soon after. On the death of Mu'āwiya (A.D. 680) the Arab fleet withdrew from the Bosphorus and the Aegean waters, but attacks against "the territory off the Romans" were by no means relinquished.

### 7.4 The fourth Muslim expedition against Constantinople (A.H. 97-99 / A.D. 715-717)

Over the next two decades both the Caliphate and the Byzantine Empire were occupied securing their domains and waging minor skirmishes against each other. Full-scale war began in A.D. 696-699, when a second Arab expedition to Africa led to the seizure of Carthage and Utica, ending the Byzantine presence in North Africa. Byzantine efforts to recover their possession proved unsuccessful, and this led to a further political instability in Constantinople, where three emperors were overthrown between A.D. 711 and 717. At the same time, in 711, the Muslims breached the Taurus barrier and advanced into Anatolia. Unable to stop the Arab advance, the Emperor Anastasius II (r. A.D. 713-715) began preparing the defenses of the capital. In 716, another Muslim assault on Constantinople failed, but in 717, an Arab force of 120,000 men and 1800 ships besieged the capital. The Bulgarians, hoping to take the city for themselves, attacked the Arabs, who were forced to build two sets of siege works, to contain the Byzantines on one side and to keep out the Bulgarians on the other.

The most famous expedition that was launched by the Umayyad Arab dynasty of Damascus against Byzantium was undertaken by Maslama b. 'Abd al-Malik in A.H. 97-99 / A.D. 715-717 (Brooks, 1899), and numerous accounts of it have been preserved. After capturing Sardis and Pergamum, Maslama undertook his memorable siege of Constantinople oppressing its inhabitants (A.D. August 25, 716 – September 717). The sources are late and contradictory, and the oldest accounts are already more legend than history. In fact, the supreme Muslim effort was made in A.D. 716-717 by the caliph Sulaymān, who is described in the Arabic sources as a lover of *ghazw*, raiding, and who designated his half-brother Maslama b. 'Abd al-Malik to be supreme commander of the attacking forces, which comprised the Syrian army by land and the Egyptian fleet by sea. We read of almost yearly summer incursions (*ṣā'ifah*), though none assumed importance until the caliphate of Sulaymān (A.D. 715-717). Sulaymān considered himself the person referred to by the current *ḥadīth* that a caliph bearing a prophet's name was to conquer Constantinople (Hitti, 2002: 202-3). When the new caliph 'Umar II came to the throne in 717, he immediately gave orders for Maslama to abandon the siege of Constantinople. This was the last direct Muslim effort against Constantinople for over seven centuries.

In the years 715-716, "Umar b. Hubayrah al-Fazārī undertook a naval expedition against Byzantium, where he spent the winter" (al-Ṭabarī, 1989: XXIV. 30). "He was accompanied by the most illustrious commanders of the Syrian army: Khālīd b. Ma'dān, 'Abdallāh b. Abī Zakariyyā' al-Khuzā'ī and Mujāhid b. Jabr" (al-Ṭabarī, 1989: XXIV. 40). According to Arabic sources, "Sulaymān sent his brother to Constantinople and ordered him to stay there until he either conquered the city or received Sulaymān's order to return. So he spent the winter and the summer there" (al-Ṭabarī, 1989: XXIV. 39; al-Ya'qūbī, 1964: III. 44; al-Kūfī, 1968-75: VII. 298-306; *FHA*, 1869-71: 25 ff.; Ibn Kathīr, 1929-32: IX. 174-5; al-Maqdisī, 1899-1918: vol VI, 43-4). The Muslim army which crossed the Dardanelles at Abydos was equipped with siege artillery, but the armada had to anchor near the walls of the city in the Sea of Marmara and in the Bosphorus, as passage into the Golden Horn was barred by a chain. This was another time the Byzantine capital had been besieged by a joint Arab fleet and army (Hitti, 2002: 212).

According to the account of al-Ṭabarī, in the year A.H. 97 (A.D. September, 715 – August 24, 716), "Sulaymān b. 'Abd al-Malik equipped the armies and dispatched them to Constantinople". Al-Ṭabarī continues saying that "when Sulaymān became caliph he raided the Byzantines, setting up camp in Dābiq, a village in the 'Azāz district north of Aleppo, situated on the edge of a plain where the Umayyad armies prepared for their annual summer raids into Byzantine

Anatolia, and sending Maslama ahead. The Byzantines feared him. When Sulaymān set up camp in Dābiq, he swore to God, according to al-Ṭabarī's narration, that he would not leave until the army that he had sent against the Byzantines entered Constantinople" (al-Ṭabarī, 1989: XXIV. 30, 40-1). This last siege of Constantinople was conducted (A.D. August 716 – September 717) under his reign by the stubborn Maslama, the caliph's brother (al-Ṭabarī, 1989: XXIV. 30), who, according to "al-Wāqidī, raided Byzantium and conquered the fortress that had previously been taken by al-Waḍḍāḥ, the leader of the separate military regiment of non-Arabs named after their commander, i.e. Waḍḍāḥiyya" (Crone, 1980: 38).

This remarkable siege, the most threatening of Arab attacks, was a combined land and sea effort by the Arabs to take the capital city of the Byzantine Empire. It is best known because of the many descriptions extant. The failure of the Muslim Arabs to capture Constantinople halted the Arab expansion. The besiegers were reinforced both by sea and by land and received aid from Egyptian ships. They were provided with naphtha and special siege artillery. In connection with this siege we have the first historical reference to the chain which barred the way of the attacking fleet into the Golden Horn. The famous Greek fire and the attacks of the Bulgars wrought havoc in the ranks of the invaders (Hitti, 2002: 201). In September, the Muslim fleet appeared but was driven off by the Byzantines using Greek fire. The Muslim army thus remained trapped in its siege works during an unusually harsh winter. A fleet of 600 ships was sent to replenish the Muslim forces. The ships landed near Chalcedon to avoid the Byzantine fleet. The crews of the Muslim fleet, mostly Egyptian Christians, defeated en masse the Byzantines. After a Muslim reinforcing column was destroyed near Nicaea and an epidemic had broken out among the Muslim forces near Constantinople, caliph 'Umar finally ordered a retreat in August 718. The Muslim retreat was not opposed, but surviving Muslim ships were attacked, and their fleet was further damaged by storms. In the siege of Constantinople in A.D. 717-718, Theophanes (*Anno Mundi* 6209) reports of the unreliability and desertion of Christian sailors from the Muslim fleet that was blockading and besieging Constantinople (Theophanes, 1883-85: 397).

One of the greatest betrayals occurred in 99/717, during Maslama's siege of Constantinople, when the patrician Leo broke his promise to the Muslim commander. Leo asked Maslama "to allow enough food to enter the city to feed the people", and "to give them permission to gather food one night". At this point, "Leo began to act in a hostile manner, having deceived Maslama by means of a trick that would shame even a woman. The Muslim army suffered what no army had suffered previously, to the extent that a soldier was afraid to leave camp by himself" (al-Ṭabarī, 1989: XXIV. 41). This tale appears widely in the Arabic-Islamic sources (cf. al-Maḳdisī, 1899-1918: VI. 43-4).

The account in *Kitāb al-'uyūn* or *Book of Springs* (FHA, 1869-71: 24-33), which dates from the latter half of the fifth/eleventh century, is the most complete concerning the disastrous siege of Constantinople by the Arabs in 717-718 (al-Ṣfahānī, 1869: 23-33). Here, Maslama is said to have written a letter to the Byzantine emperor stating: "I will not leave this *jazīra* (peninsula) without entering your city". The emperor agreed to open the gates to Maslama alone and ordered that "horses and men be lined up from the gate of the city to the gate of the Great Church, banners be erected, and palaces be decorated with the best possible ornamentation". Maslama told the famous Syrian *ghāzī* (i.e. one who took part in raids against infidels), 'Abdallāh al-Baṭṭāl: "I enter this city knowing that it is the capital of Christianity and its glory. My only purpose in entering it is to uphold Islam and humiliate unbelief". Maslama paraded in the city and was greeted at the gate of the palace by Emperor Leo III (r. A.D. 717-741). It is said that the emperor stood up, kissed his hand, and walked alongside him to the church, while Maslama still on his horse (Ibn A'tham, 1968: VII. 300-1). A mosque in Constantinople is attached to Maslama's name, for Emperor Constantine VII (r. A.D. 913-59) mentions that the mosque of the Saracens was built at the request of Maslama in the Praetorium (Porphyrogenitus, 1967: chapter 21). The construction of a mosque in Constantinople was a subject of major concern among the Muslims. Thus, in spite of its failure, the siege of Constantinople in 99/717 had one positive outcome for the Arabs: namely, the establishment of the first mosque in the Byzantine capital.

As long as the Arabs were looking forward to the imminent fall of Constantinople this frontier marked only a temporary pause, but the failure of the 718 siege and the political upheavals which preoccupied the caliphate during much of the middle decades of the eighth century led to a gradual change in strategy and outlook. On the Arab side the frontier zone began to coalesce into a fortified and settled borderland, known as the *thughūr* (Whittow, 1996: 212).

### 7.5 The expedition of Hārūn al-Rashīd against Constantinople (A.H. 158-169 / A.D. 775-785)

Between A.D. 718 and 741 a series of raids and counter raids ravaged Anatolia. In this period, Byzantine strategy embraced not only positional defense but also a policy of intercepting Muslim raids returning from plundering expeditions. In 783, the Abbasid army reached the Bosphorus, near which they defeated the Byzantines at Nicomedia (Izmit or Kocaeli), forcing Irene to sue for peace, accept a three-year truce, and pay tribute. In 786, the new Caliph Hārūn al-

Rashīd (r. A.D. 786-809) began fortifying his borderland territories in preparation for an invasion of the Byzantine Empire. In 797, Abbasid forces advanced to the Byzantine cities of Ephesus and Ancyra (Ankara), forcing Empress Irene to reinstate the payment of previously agreed tributes. This was the only one expedition commanded by Hārūn al-Rashīd, son of al-Mahdī, in the latter part of the second/eighth century, who reached the Bosphorus. According to one tale repeated by the seventeenth century traveler Evliyā Çelebi, Hārūn besieged Constantinople twice and on the second occasion avenged the massacre of the Muslims of Constantinople by the Byzantines by hanging the Emperor Nicephorus in Santa Sophia (Bosworth, 1991-92: 2-3) whose warriors were the first ever to set eyes on Byzantium (Theophanes, 1883-85: 245-46, 332). This proved the last time that a hostile Arab army stood before the walls of the proud capital.

Caliph's al-Mu'taṣim's (r. A.D. 833-42) plan to besiege Constantinople in 838 failed, when the Abbasid fleet was destroyed in a storm. In the decisive battle of Poson, the Muslim army was almost entirely destroyed and 'Umar was slain. The victory was celebrated with great pomp at the Hippodrome in Constantinople (Mikaberidze, 2011: I. 219-25).

With regard to the events of A.D. 1182, Ibn Jubayr (1955: 327-29) relates a confused and inaccurate story. Ibn Jubayr presents the Muslims conquering Constantinople in A.D. 1182 although nothing of the sort occurred until the Ottoman conquest in A.D. 1453. Furthermore, it was the Latin inhabitants of the city who were slaughtered by the Byzantines in the attack he describes. The last sentence of his narration that is: "This conquest is one of the signs of the Hour", belongs to the Muslim apocalyptic literature, which developed in connection with the early military expeditions against the Byzantine capital in the second/eighth century. According to El Cheikh (2004: 200), these traditions – which were found in the earliest texts, and especially in *ḥadīth* compilations – were still suitable for inclusion in later texts.

## 8. Concluding remarks

As said in the beginning the Arabs created a fleet on the basis of the knowledge they found in certain individuals of the local peoples of the Near East who previously served the Byzantines. Among the places conquered by the Muslim Arabs were coastal towns and commercial ports. Some of these local men who knew how to construct and man a ship joined the conquerors and fought alongside them. Besides, there were dockyards both in Syrian and Palestinian coastal towns as well as in those in Egypt. That is why the Arabs managed in a short time to draft experts and organize effective fleets. Indeed, the Syrian and the Egyptian fleets played a great role in the early sea battles. These fleets served the early ambitious goal which was the capture of Constantinople and thus the realization of their aim to supplant Byzantium. In order to achieve this aim, the fleets organized by the Arabs followed the armies that besieged Constantinople. It is also said that Constantinople's conquest was seen as a means by which a ruler or even a whole dynasty might obtain the highest form of legitimization. The city's conquest was the ultimate goal for the conquerors and the principal justification for all of their efforts. The best documentation that we have of the Muslim community's general reaction to the failed sieges of Constantinople both by sea and land is contained in the apocalyptic literature. These came to be prophetic announcements that were attributed to the Prophet Muhammad or to any one of his companions and that describe the signs and portents of the last hour and the tribulations that will precede it. Accounts of the apocalypse were widespread in the early community of Muslim believers. In fact, speculation about the end of the world was rife among all religious communities in the Near East at that time. Apocalypticism "could fit contemporary and social events into a transcendent scheme of meaning", helping to account for the success of the Muslims (Hoyland, 1997: 27-28). Hence, Muslims' battles with the Byzantines were identified with the so-called fierce battles (*malāḥim*), i.e. the final wars at the end of the world ending with the Muslim capture of Constantinople. The remnants of this material are scattered in collections of *ḥadīth* and in a few *fitan* (=trial) or *malāḥim* texts (Khalidi, 1994: 29). Some of these accounts attempted to articulate the theological and political relationship between the Muslim and Byzantine communities.

A number of traditions created a relatively comprehensive apocalyptic explanation for the failure to take Constantinople. The periodic emergence of apocalyptic texts and their accumulation usually indicates periods of tribulation, military defeat, or social and economic pressure. Once it became clear to the Arabs that the capture of Constantinople was not going to take place in the foreseeable future, predictions of a future conquest waned and were replaced by apocalyptic expectation. However, El Cheikh (2004: 66-67) is not sure if these traditions reflect the Muslim reaction to the repeated failures of the Muslim armies to conquer the city.

After the Muslim defeats and the failure of the repeated sieges of Constantinople, in particular, the Byzantines became the most challenging enemy of the Islamic state. By adopting an apocalyptic vision, the Muslims were giving way to realism and pragmatism, after they had attempted to conquer the city several times and failed. Constantinople was the real challenge and the real prize. The capital of the Byzantines was not only a wealthy city and a center of trade. It was also the center of culture and of civilization. The period of Umayyad rule was the one that saw the greatest and most

intense Byzantine influence on the nascent Islamic civilization. Once Byzantine influence started to recede, Constantinople could not be totally ignored, but its capture was postponed to a remote future. Hence, the conquest of the Byzantine capital passed from the domain of politics and propaganda to that of legend and eschatology (El Cheikh 2004: 70-71). It is well known that the conquest of Constantinople was a transcendent, religious goal for the Muslims, especially after their failure in 717-718 to accomplish it (Canard, 1926).

## References

- Ahrweiler, H. (1975). Course et piraterie dans la Méditerranée orientale aux IV<sup>ème</sup>-XV<sup>ème</sup> siècles (empire byzantine). In *Course et piraterie (XV<sup>e</sup> Colloque international d'histoire maritime)* (vol. I, pp. 7-29). San Francisco: Editions du Centre national de la recherche scientifique.
- Bosworth, C. E. (1991-92). Byzantium and the Arabs: War and Peace between Two World Civilizations. *Journal of Oriental and African Studies*, 3-4, 1-23.
- Brooks, E. W. (1899). The Campaign of 716-718, from Arabic Sources. *The Journal of Hellenic Studies*, 19, 19-31.
- Bury, J. B. (1899). *A History of the Later Roman Empire from Arcadius to Irene*. Reprinted (1967) Chicago: Argonaut.
- Canard, M. (1926). Les expéditions des arabes contre Constantinople dans l'histoire et dans la légende. *Journal Asiatique*, 208, 61-121.
- Christides, V. (1984). *The Conquest of Crete by the Arabs (ca. 824): A Turning Point in the Struggle between Byzantium and Islam*. Athens: Academy of Athens.
- Conrad, L. I. (1992). The Conquest of Arwād: a Source-Critical Study in the Historiography of the Early Medieval Near East. In A. Cameron and L. I. Conrad (eds.), *The Byzantine and Early Islamic Near East, I: Problems in the Literary Source Material*. Princeton: Darwin Press.
- Crone, P. (1980). *Slaves on Horses*. Cambridge: Cambridge University Press.
- El Cheikh, N. M. (2004). *Byzantium Viewed by the Arabs*. Cambridge, Massachusetts: Harvard University Press.
- Fahmy, A. M. (1966). *Muslim Naval Organization in the Eastern Mediterranean from the Seventh to the Tenth Century A.D.* Cairo: National Publication & Print. House.
- Fragmenta Historicorum Arabicorum (FHA)* (1869-71). Edited by M. J. De Goeje. Leiden: E. J. Brill. Reprinted (1964) Baghdad: Maktabat al-Muthannā.
- Gabrieli, F. (1964). Greeks and Arabs in the Central Mediterranean Area. *Dumbarton Oaks Papers*, 18, 57-65.
- Gibb, H. A. R. (1958). Arab-Byzantine Relations under the Umayyad Caliphate. *Dumbarton Oaks Papers*, 12, 219-233.
- Guilland, R. (1955). L'expédition de Maslama contre Constantinople, 717-718. *Al-Mashriq*, 40, 89-112.
- Hitti, P. K. (2002). *History of the Arabs: From the Earliest Times to the Present*. Revised Tenth Edition by W. Khalidi. London: Palgrave Macmillan.
- Hoyland, R. (1997). *Seeing Islam as Others Saw It: A Survey and Evaluation of Christian, Jewish, and Zoroastrian Writings on Early Islam*. Princeton: Darwin Press.
- Ibn 'Abd al-Ḥakam, Abū Muḥammad 'Abdallāh (1964). *Sīrat 'Umar b. 'Abd al-'Azīz*. Edited by Aḥmad 'Ubayd. Damascus: Dār al-Fikr.
- Ibn A'tham al-Kūfī, Abū Muḥammad Aḥmad Ibn A'tham al-Kūfī al-Kindī (1968). *Kitāb al-futūḥ*. 8 vols. Hyderabad: Maṭba'at Majlis Dā'irat al-Ma'ārif al-'Uthmāniyya
- Ibn Ḥajar al-'Asqalānī, Aḥmad b. 'Alī (1907-09). *Tahdhīb al-Tahdhīb*. 12 vols. Hyderabad: Maṭba'at Majlis Dā'irat al-Ma'ārif al-'Uthmāniyya. Reprinted (1968) Beirut: Dār Ṣādir.
- Ibn Jubayr, Abū 'l-Ḥusayn Muḥammad b. Aḥmad b. Jubayr al-Kinānī (1955). *Riḥla*. Edited by Ḥussayn Naṣṣār. Cairo: Maktabat Miṣr.
- Ibn Kathīr, Ismā'īl b. 'Umar (1929-32). *Al-Bidāya wa-l-Nihāya*. 14 vols. Cairo: Maṭba'at Kurdistān al-'Ilmiyya.
- Ibn Khaldūn, Walī al-Dīn 'Abd al-Raḥmān b. Muḥammad b. Abī Bakr Muḥammad b. al-Ḥasan (1958). *The Muqaddimah: An Introduction to History*. Translated by F. Rosenthal. 3 vols. Princeton: Princeton University Press.
- Ibn Khurradādhbih, Abū 'l-Qāsim 'Ubayd Allāh b. 'Abd Allāh (1889). *Kitāb al-masālik wa al-mamālik*. Edited by M. J. De Goeje. Leiden: E. J. Brill.
- al-Iṣfahānī, Abū 'l-Faraj (1869). *Kitāb al-Aghānī*. Edited by M. J. De Goeje. Leiden: E. J. Brill.
- Jenkins, R. J. H. (1951-53). Cyprus between Byzantium and Islam, A.D. 688-965. In G. E. Mylonas and D. Raymond (eds.), *Studies presented to David Moore Robinson* (vol. II, pp. 1006-14). Saint Louis: Washington University.
- Kaegi, W. E. (1992). *Byzantium and the Early Islamic Conquests*. Cambridge: Cambridge University Press.
- Khalidi, T. (1994). *Arabic Historical Thought in the Classical Period*. Cambridge: Cambridge University Press.
- Al-Kūfī, Abū Muḥammad Aḥmad b. A'tham (1968-75). *Kitāb al-Futūḥ*. 8 vols. Hyderabad: Maṭba'at Majlis Dā'irat al-Ma'ārif al-'Uthmāniyya.
- Kyrris, C. P. (1984). The nature of the Arab-Byzantine relations in Cyprus from the middle of the 7<sup>th</sup> to the middle of the 10<sup>th</sup> century A.D. *Graeco-Arabica*, 3, 148-175.
- Lewis, A. R. and Runyan T. J. (1990). *European Naval and Maritime History, 300-1500*. U.S.A.: Indiana University Press.
- al-Maqdisī, Muḥammad b. Ṭāhir (1899-1918). *Kitāb al-Bad' wa-l-Ta'rīkh*. Edited by Clément Huart. 6 vols. Paris: École des langues orientales vivantes. Reprinted (1960) Baghdad: Maktabat al-Muthannā.



- al-Mas'ūdī, Abū 'l-Ḥasan 'Alī b. al-Ḥusayn (1967). *Kitāb al-tanbīh wa al-ishrāf*. Edited by M. J. De Goeje. Leiden: E. J. Brill.
- Mikaberidze, A. (2011). *Conflict and Conquest in the Islamic World. A Historical Encyclopedia*. 2 vols. Santa Barbara CA: ABC-CLIO.
- al-Muqaddasī, Shams al-Dīn Abū 'Abd Allāh Muḥammad b. Aḥmad b. Abī Bakr al-Bannā' al-Shāmī (1906). *Aḥsan al-taqāsīm fī ma'rifat al-aqālīm*. Edited by M. J. de Goeje. Leiden: E. J. Brill.
- Porphrogenitus, Constantine (1967). *De Administrando Imperio*. Edited by G. Moravcsik. Translated by R. J. H. Jenkins. Washington, D.C.: Dumbarton Oaks Center for Byzantine Studies.
- Pryor, J. H. (1988). *Geography, Technology, and War: Studies in the Maritime History of the Mediterranean 649-1571*. Cambridge: Cambridge University Press.
- Rose, S. (1999). Islam versus Christendom: The Naval Dimension, 1000-1600. *The Journal of Military History*, 63.3, 561-578.
- Simeonava, L. (2000). Foreigners in Tenth-Century Byzantium: A Contribution to the History of Cultural Encounter. In Dion C. Smythe (ed.), *Strangers to Themselves: The Byzantine Outsider* (pp. 229-244). Aldershot: Ashgate Variorum.
- Stratos, A. N. (1980). The naval engagement at Phoenix. In A. E. Laiou – Thomadakis (ed.), *Charanis studies: Essays in honour of Peter Charanis* (pp. 229-247). New Brunswick, N.J.: Rutgers University Press.
- al-Ṭabarī, Muḥammad b. Jarīr (1879-1901). *Ta'rikh al-rusul wa-l-mulūk*. Edited by M. J. de Goeje et al. Leiden: E. J. Brill. English translations: Ehsan Yar-Shater (ed.) (1987). *The History of al-Ṭabarī*. Vol. XVIII (Between Civil Wars: The Caliphate of Mu'āwiyah). Translated and annotated by M. G. Morony. Albany: State University of New York Press. Ehsan Yar-Shater (ed.) (1989). *The History of al-Ṭabarī*. Vol. XXIV (The Empire in Transition). Translated and annotated by D. S. Powers. Albany: State University of New York Press.
- Theophanes the Confessor (1883-85). *Chronographia*. Edited by C. de Boor. 2 vols. Leipzig: Teubner.
- Tritton, A. S. (1959). Siege of Constantinople, A.D. 714-16. *Bulletin of the School of Oriental and African Studies*, 22, 350-352.
- Whittow, M. (1996). *The Making of Byzantium, 600-1025*. Berkeley and Los Angeles, California: University of California Press.
- al-Ya'qūbī, Aḥmad b. Abī Ya'qūb (1964). *Ta'rikh*. Edited by Muḥammad Ṣādiq. 3 vols. Najaf: al-Maktaba al-Ḥaydariyy.

## Learning to 'Parenting': Peer-to-Peer Educational Actions in the Italian Associations of Adoptive Families

Rossana Di Silvio

University of Milano-Bicocca

E-mail: r.disilvio@campus.unimib.it

---

**Abstract:** *We hardly associate parenthood to a state that must be learned or taught according to classical educative models, rather we think that it is an embedded condition arising "naturally" when we become parents. Nowadays, however, with the rise of the so-called "psy" sciences, the certainty and solidity of a noun - parenthood – has been progressively replaced by the proceedings of a verb - parenting. The idea of parenting as a process of learning (emotional, cognitive and behavioral) finds its most concrete expression in the construction of the adoptive parenthood. Based on a two years' ethnographic research, my paper aims at highlighting the training action carried out by adoptive associations towards the infertile couples who have decided to adopt. In a society that is still deeply family-based, such as the Italian one, where kinship ties are grounded in the hegemonic action of the blood paradigm, a widespread cultural belief claims that a failed bio-reproduction deprives the couples of that natural embedded knowledge necessary to be good parents. So, if the rule allows to legitimize the shift from a legal status (the couple) to another (the family), the associations of adoptive families are authorized by the State to carry out an intensive educative action so that the prospective parents can better learn all the qualities, behaviors, responsibilities and emotions typical of good adoptive parents, according to the "natural" model of the biological parenting.*

**Keywords:** *adoptive parenting; educational training; families' associations; risk; "psy" sciences; ideology "of aid"; family's "professionalization";*

---

### 1. Introduction

Although the birth of a child is considered a common event in all world cultures and in different historical periods (e.g. Goody, 1969; Clutton-Brock, 1991; Ariès, 1994; DeLoache & Gottlieb, 2000), in recent decades Western societies have witnessed an increase in the presence as well as in the effects of a sort of apprehension feeling affecting those who wish to become parents and the society as a whole (Osofsky & Thompson, 2000; Quinlan & Quinlan, 2007; Furedi, 2008). The idea that parenthood represents a tiring transition experience, not free from risk factors, seems to have become a widespread belief, which lays the foundations for the increase in some "more or less serious" pathological forms, such as the post partum depression, widely reported in the medical literature. However, it is interesting to note how this representation goes beyond the biological event of giving birth to a son and its naturally embedded disposition, to define the parenting experience according to its wider meaning of culturally determined disposition. In fact, infertile couples who choose to adopt are not immune from this emotional state. Indeed, if possible, their potential parenthood is invested with a major discursive and professional concern, associated to the tension about the success of a parenting seemingly far away from the culturally hegemonic vision of a "natural" parenthood (Strathern Modell, 1994; Howell, 2007; DiSilvio, 2008; Yngvesson, 2010).

The ethnographic study of a context like the Italian one, characterized by an exponential increase in adoptions, especially transnational, and by a widespread deeply rooted bio-familistic vision, allowed to highlight the action of devices and practices aimed at educating a potential parenthood. The bodily impairment of infertility deprives the potential parenthood of that attribute which considers parenthood as a "naturally" embedded condition spontaneously emerging when someone gives birth to a child. But the "educational" effort towards adoptive parents can also reveal how this approach is the result of a unique synergy of actions, addressed to the parenthood in general that is considered to be a privileged place for the allocation of the family meaning in the contemporary world.

### 2. Parenting, risk and educational

#### 2.1 Parenting as learning process

Since Western families have begun to take that particular form which we call the "nuclear" family, almost entirely unknown in traditional societies, it has become increasingly evident that parenting can be a far more complex experience. In particular, the lack of the additional support provided by other family members (usually female and often belonging to

different generations), has made increasingly important the contribution of the father figure (i.e. Sandqvist, 1997; Hewlett, 2000), which is now considered crucial, starting from the time when the birth produces an emotional transition on the mother. This particular condition of the contemporary family has greatly reduced the ability to distribute the emotional and practical weight of the tasks that parents often face in complete solitude. It is a condition that derives not only from objective impediments to receive help from other family members, such as the grandparents (even though they may still be active at work or want to spend more time on their hobbies in this period of their life), but also from a common "ideology", according to the Gramscian sense of "conception or vision of world" (Gramsci, 2001:1490). This ideology claims that the main responsibility to raise and educate children lies with their parents excluding other reference figures belonging to the same kinship group even. In other words, if it is true that particular socio-economic factors have driven the transition to this form of family which we all know, it is equally true that a range of culturally and historically determined representations, ideologies, discourses and practices have built its meaning (Rose, 1999; DiSilvio, 2008).

Some disciplines, whose paradigms and categories have provided that universality and scientific nature on which a specific classification of inclusion/exclusion is based (Rose, 1998), have greatly contributed to build this sense of family in general and of parenthood in particular. The rhetorical or instrumental use of the notions of "good" or "bad" parenthood is the clearest expression of this constructed sense of family/parenthood, which also produces the perception of that state of tension that seems to underlie and permeate the parental function, considered as a place of production and expression of a potential "educational risk" (Furedi, 2008:119), as we will better see in the follow of the present exposition. Since the so-called "psy" sciences collected the legacy of the ideology of the "pastoral exercise" of the Church (Foucault, 2005:89), they have quickly established themselves, in both the academic and the social context, as the repository of a knowledge addressed explicitly to the domestic sphere as a whole and specifically to the interactive space between parents and children (or more precisely between the mother and the child). This space indeed is conceived as the founding joint of the parental function.

Thus, in the effects of the synergic actions between history and disciplinary discourse, it is possible to identify that particular transition of the sense that is culturally assigned to parenthood: a noun - parenthood - which recalls something firm, stable, and existing - has gradually transformed into a verb - to be parent or parenting - which recalls a process, a movement in time, something to gain and to learn (Gauchet, 2009). I would highlight that this conceptual transformation has been established together with the growth of a new category of social actors which have an increasing influence on both in the institutional field and the common life of families. In fact, these social workers can be fully identified as the carriers of the diffusion of the disciplinary paradigms of the "psy" sciences: they are led by the State itself to enforce that classification which establishes, in the living history of parents and families, the "inclusion" or the "exclusion" from the shared and dominant cultural model of the "good" or "bad" parent.

## 2.2 Parenting 'as' educational risk

Some scholars have highlighted how the progressive spread of the notion of "risk" (soon shifted into a concept), and of its specific perceptual interpretation and assignment of meaning - historically and culturally established - marked out the change of the parenting culture in Western countries (e.g. Pain, 2006; Roche et al., 2008; Furedi, 2008). As we know, the perception and meaning of risk are rooted in the distinction between reality and possibility, although often one may observe a gap between subjective perception and reality of hazard. However, in the last years the measure of the gap is considerably grown and, overflowing from the individual level, has begun to involve more and more the collective perception and the *doxa* (Tulloch et al., 2003; Bourke, 2005). It is evident that the notion of "risk" takes a meaning within the relation between the present and the future and, obviously, it depends on how the present is (culturally) conceived (Boholm et al., 2011). So, the fears regarding the future are strictly linked to the anxieties concerning the present, and it is interesting to notice how the subjects on whom Western contemporary societies center their anxieties more are the children, particularly in regard to their growth and life experiences. In the last times, indeed, children are being involved into the ambiguous turning of the term "risk", shifted toward the new conceptual and more and more pervasive declination of "to be at risk".

The concept (or the notion) of "to be at risk" breaks the substance of the traditional relation between the subjective action and the probability to experience some hazards, because nowadays this concept is not linked to what one does but to what one is. In some way, it becomes a fixed trait of the individual, an immanent attribute within the subject and, as such, it is autonomous from the agency of the subject itself. It concerns a very different meaning from what was assumed in the past, since the openness toward the positive as well as negative possibilities, has been replaced by the sureness of the adverse effects. In fact, "to be at risk" is used to point out some categories of people who are considered, by themselves, as particularly vulnerable to the hazard. So, children who are classified as "to be at risk", are usually

associated to specific life styles, to “not conforming” life experiences (within or outside the family), that will unavoidably produce individuals for whom the range of present and future life possibilities will be circumscribed by the several risk factors to which they have been, are, and will be surely subject. A certainty that the society faces by pushing people, especially the parents and their educational function, into a kind of responsibility (or agency) of “diminished subjectivity” (Furedi, 2005).

The cultural representation of the “diminished subjectivity” is inscribed into the therapeutic ethnos and leads to the “professionalization” of the family as well as of the emotional and private life in a considerable way. With its specific language, body of values and set of norms, it offers a new sensibility through which people reshape the sense of themselves and others. In other words, when the form of thinking subtending the therapeutic practice broadens out to the social perception (of a great range of matters), it ceases to be a simple clinical technique and becomes a tool of interpretation, representation and management of the subjectivity, producing culturally established visions and practices. In the new framework produced by a particular assignment of sense to life’s hazards as well as by the distinctive intertwining between risk and childhood, family is positioned at the core of the discourse and is considered to be a privileged and collectively recognized place of social production and reproduction of habits and meanings. Although the family has been analyzed for long by several points of views (e.g. Bengtson et al., 2005), during the 1980’s the “culture of fear” intersected the culture of parenting. In the discursive precipitate spearheaded by this intersection, parents are assumed to be the exclusive place of production of the good or bad qualities of the present and future life of their children, seen more and more as without control and “at risk” (Furedi, 2008). The emphasis on childhood rights and on children protection as a category “at risk” includes not only a mere safety meaning but also a well-being concept as a whole. It is a vision that has been widely spread by International Conventions, scientifically recognized by the disciplinary paradigms of “psy” sciences, boosted by local norms and made collectively pervasive by media discourses. These media discourses have deeply permeated the domestic domain, urging parents to adopt a set of emotions and behaviors ascribable to a particular parenting practice called “intensive parenting” or “hyper-parenting” (Shirani, et al., 2012; Hoffman, 2010). It concerns a child-centered rearing practice that demands a great parental commitment in terms of time, money as well as of emotional involvement. The practice of intensive parenting, as well as its ideology, are founded on a deterministic vision of the life and of the individual outcomes: this vision is inscribed into a wider neoliberal narration, which emphasizes the individual responsibility toward the public goal of risk management. By following this vision, the practices adopted to educate and rear children are determinant for the development of the children themselves and of their future choices. Thus parents are expected to acquire a specific knowledge of what the experts consider to be suitable for the child well-being. So nowadays, differently from the past, parents are called to perform a sort of expertise “ordeal” (Furedi, 2008:97), where what is done is never enough, where rearing a child is often represented as a permanent crisis and where the act of taking care of offspring is permeated by a feeling of widespread anxiety. Consequently, because of its own features, the intensive parenting is not an ability “naturally” created by the procreation or by the bodily presence of a child, as the traditional belief claims. In turn, it is an ability that needs to be acquired through a specific training, managed by professional teachers (the “psy” ones) and possibly prolonged along the time. In fact, since a growing child requires specific parental skills according to the different needs of his development, parents are expected to follow a proper training in order to contain, step-by-step, the immanent effects of belonging to the category of those who are potentially at risk.

### **3. Field, subjects and methodology**

#### *3.1 The ethnographic field*

From several years the phenomenon of adoption, especially the intercountry one, has become a relevant topic in the international landscape of the studies of new forms of kinship in contemporary world (e.g. Howell, 2007; Yngvesson, 2010). Nevertheless, in Italy the ethno-anthropological interest remains curiously low, although the country has registered, for some decades now, one of the highest density in intercountry adoptions in the Western countries (DiSilvio, 2008).

The research on which the content of this paper has been based, took place mainly in Lombardia and Veneto, two regions of Northern Italy characterized by the most high presence of adoptive families in the whole country. My ethnographic field unfolded thanks to a net of local contacts, and has been going on for more than two years. Within this favorable framework I was in the position to interact with a range of adoptive families associations, representing a wide social spectrum. Each one of these social realities have distinctive history and features but, in any case, they managed a

network of some hundred families, many of which were attending the activities of the association from a long time, while others participated occasionally and only in some fewer cases no contacts were maintained after the child arrival.

The prevailing interest of my fieldwork concerns with the study of the adoptive kinship as “social fact”. Within this frame I also devote a particular attention to investigate the meaning that the adoptive families assign to their private experience within the community life of the association. Thus, I placed the associative life of the adoptive families under a thick and prolonged participant observation, investigating also the families members’ personal experiences and their individual stories. By highlighting the specific intertwining between the devices of the State, and the paradigms and professional practices of the social agents - which have been authorized to establish the adoptive family as juridical subject - as well as the agency of associations in negotiating the social meaning of their members in the public space, the ethnographic field unveils how the actions of these forces, working side by side within the Italian social scenario, produce a culturally distinctive vision of the so-called “good adoptive parenting”, which is not given but that must be achieved.

### 3.2 *The associations of adoptive families*

From a historical and cultural perspective, the Italian social tissue presents a wide variety of what we may call “grassroots” forms of social agency, whereby a particular attention is dedicated to issues related to the family.

The spreading of the phenomenon of adoption in the social scenario has inevitably drawn a great deal of attention, involving mainly the people who are directly involved into the experience itself. This has produced the springing up of a number of families associations which often are yet to be registered, though being well-established. Practically, in any municipal district, even in those showing small dimensions, the families which have a direct experience in adopting have gathered in small or larger groups which have set up a consistent number of contacts among the families themselves, which at times are maintained for long periods.

Initially recognized as spontaneous groups providing peer-to-peer support in relation to the long waiting-phase connected to the arrival of the child, the associations of the adoptive families have become over time “supporting” agents to the State action in establishing the “social” positioning of the aspiring adoptive parents. Having often acquired some official recognition from public services, these associations do in fact contribute to the establishing and the completion of the process leading to the production of adoptive parenting, which aims at becoming mimetic with the dominant model of the “true” parenting, that is the biological one.

On the other hand, the action of a long lasting network of relations makes these associations a social live body. As structured and structuring system, they may be understood as a place where the meaning on the subjective experience and the world is produced, thus providing a re-signification of “being-in-the-world” to those who are to enter the world of adoption. Although harbingers of distinctive *habitus* and practices, these “subcultures” are not founded on an ideological construct but rather on a material and symbolic presence within the social texture (Clarke et al., 2006). Hence, the models that the families’ associations express are mimetical to the hegemonic ones of the culture they stem from, which have been embedded by every member through the daily practices of socialization, but also through the interaction with institutional devices and the agents authorized to the production of social conformity, that is social workers and ‘psy’ professionals (DiSilvio, 2012).

So, being “meaningful” symbolic constructions, these associations make the private experience of adoptive kinship visible, both claiming for its social recognition and providing their members with specific strategies in negotiating their collective experience in the social scenario.

## 4. **Becoming adoptive parents**

### 4.1 *Being ‘equal but different’*

In the last thirty years, Italy has met with a consistent decrease of birth's rates. However, although this country shares the same datum with many others Western countries, the Italian case nowadays records the lowest number of births among European countries (DiSilvio, 2008). This phenomenon can be explained in relation to various political, economic and cultural causes. In general, Italian youths tend to postpone the time of marriage and/or procreation till they have acquired a professional and economic stability because the welfare system fails to adequately support the family needs. But this social fact has to be also understood in the light of an overall cultural milieu, produced by a traditional familistic vision, where the individual accomplishment is still directed to the realization of the family unit and where the marriage is still conceived as the privileged place to have and rear the children (DiSilvio, 2010). Indeed, while the Italian society has gone through, since the end of the second world war, an extensive process of secularization, to a good degree it remains

deeply imbued by values and representations that entail a social import of the family model, through which the biological unit itself finds its shared expression.

This disposition or *habitus* (Krais et al., 2009) appears in all its evidence in the juridical body that rules the domestic domain and, most of all, in the attention that it is usually reserved to parenting, for this remains the ground on which the success of the familiar institution is measured (DiSilvio, 2010).

In the *doxa* of common opinion, the family is perceived as a body to which the members related by blood ties belong with full rights, sharing the same residence: it is in this general context that husband wife and their children are recognized as the family unit (Bourdieu, 1996). On the other hand while “strangers” acquire “kinship affinity” through a juridical act, becoming thus husband and wife, the strictest kinship ties are attributed to the members who are closer in their blood ties, which means parents and children (Levi-Strauss, 1984). In this respect, it is precisely because the last share such close blood ties that their kinship is called “exclusive”, since it cannot be severed, while the juridical type of kinship can. But kinship is also informed by a specific code of conduct, which foresees parents and children sharing a specific behavior and intimacies toward each other, which will be socially and culturally recognized as appropriate (Schneider, 1980). The hegemonic vision over the parental tie is based on the assumption that the biological parent has a predisposition to enact a “natural” code of conduct that awaits only to be reactivated by the biological event of procreation. Hence, mothers and fathers are assigned the role – by law and by common feeling – of being the righteous “owners” of the role and function of parenthood, as long as his/her behavior will conform to the expectations of their culturally shared models.

As the phenomenon of adoption - and intercountry adoption particularly – has become a widely shared social practice, the Italian rules regulating its device had to meet with the necessity to lay down a system of regulations that, while introducing some new factors in the kinning matter, had nevertheless to take into account the common feeling on the so-called “social” kinship. So, if on one hand the adoptive family is juridically endowed with a juridical status being equal to the biological family, on the other the procedure leading to its final inclusion in the category of “true” family requires the overcoming of a complex bureaucratic path (DiSilvio, 2010). Thereby, the process of “family consecration” may assume the features of a particular “ritual initiation”, in which the educative “training” on parenting is understood as a tool to turning the no blood-ties (juridically acquired) parents into subjects “mimetical” to the biological ones (DiSilvio, 2008).

#### 4.2 Learning to adoptive parenting

If the condition of infertility hampers the couples who choose to adopt in their resorting to the biological event of procreation to activate the “natural” feeling of parental tie, it becomes necessary to make up for such deficiency by providing a training process through which the aspiring parents will have to learn not only “how” to become parents, but more specifically how to fulfill the social expectation of becoming “good” adoptive parents. And since adoptive kinship is not based on blood ties – and indeed in the case of intercountry adoption it may be all the more obvious – the institutional and social recognition of “good parenting” will have to be measured on the parents’ ability to acquire and enact a code of conduct conforming to the shared cultural expectations.

I would highlight how the great deal of efforts put forward for the parents by public institutions, marks the accomplishment of the parenting roles and duties with high social expectations. As far as the international adoption, this practice may be understood both to the impossibility, by the authorities of the hosting country, to exercise a thorough control on the adoption procedures of the child, and to the effects of the intertwining between juridical apparatus, “psy” paradigms and professional practices of the social workers (DiSilvio, 2008). But it should however unfold a few aspects, if we are better to understand the Italian society perspective.

The Italian rules in domestic adoption implies an extensive intervention of public authorities in all the phases of the proceeding: which involves decisions regarding the delegitimizing of birth parents and relatives, pronouncements on child adoptability, the searching, selection and individuation of a specific aspiring couple (DiSilvio, 2010).

Through all the stages of the process the social workers and the professionals of “psy” sciences of the public services are constantly required to actively intervene in the actions undertaken. In relation to their professional skills they are expected to produce a deeply evaluation (and an accurate classification) of the parenting abilities in efficiently performing their duties towards the child’s needs. Very often, the “pictures” emerging from the social workers assessments are the sole element on which the fate of the so-called “adoptive triad” - the birth parents, the child, the adoptive parents – is based on.

However, in the case of intercountry adoption, the very first steps in the procedure, that eventually establishes the adoptability status of the child itself, are carried out in the original country, according to conditions that often widely differ

from the rules of the receiving countries. The last having thus only a say in the requirements regarding the aspiring couple and its suitability to adopt.

Comparing to the other western countries involved in the adoption of children from abroad, the Italian institutions engaged in the adoptive proceeding show a pervasively attitude towards the adopting couples, a stance which at times comes close to being excessively demanding. However, in spite of the fact that the trials demanded for achieving a successful result in the suitability to adopt are rather strict, very few couples drop out the path. Within the proceeding, the Italian adoptive device may also require (and often urge) the future parents to follow a parenting apprenticeship, with the scope of acquiring all those behavioral abilities, emotional inclinations, attitudes, that are established as "natural" skills showed in being "good" parents.

Because of their distinctiveness in being spontaneous social aggregations, the associations of adoptive families are been requested to take up the training task of the aspiring parents, which previously was carried out by the social workers and by the professionals of the "psy" sciences, by using own specific tools. This means to provide the possibility for the perspective parents to experience a peer-to-peer education. In fact, the consistent participation to the association activities of both aspiring couples and "experienced" adoptive families, represents for the perspective parents the living evidence of the realization of a longed-for event. Thus, just because the event of the child arrival is charged with such a great emotional value, the sharing of time and space between aspiring and expert parents would positively help the first to "enter" in a particular parenting framework, both in its the practical and in the emotional which they have had the opportunity to witness in the latter.

The mimetic action of this prolonged contact appears to be deeply significant for perspective parents. It enhances the acquisition of a coherent language ability and of a distinguished emotional responsiveness that parents are usually enact, and boosts the exposing of situations and contacts that were not previously experienced in the conjugal relationships: namely the schooling setting and the extended family - in which the grandparents acquire a prominent role. The gradual shifting of the way of felt and experienced themselves as couple, reshapes in a considerable way the forms and contents which have so far characterized the communication between husband and wife, triggering shifts in the couples' attitude towards their professional life or in the use of their leisure.

In this "educational" framework, it must highlight the importance of the several celebrations and festivities scheduled by the associations for its members and with them. These gatherings, to which are often invited the biological families, are meant to point out the emphases on the children, especially in the occurrence of those celebrations that are traditionally intended to underline the role of family.

Although several spontaneous relationships regularly take place outside the association life, the contacts between the members within the association are not casual, but they are carefully planned, so as to maintain formal occasions for the meeting between all members. Sometime such meetings are directly managed by "skilled" psychologists and social workers. More often, however, they become the occasion for experienced parents to talk about their personal experience and acquired knowledge on adoptive parenting or to invite young adoptees to talk about themselves as adoptive offspring. These social frameworks respond to the need of handing on, in practical and through the practices, the adoptive personal experiences and stories. And it could be underline how, in the first type of gatherings, more attention is placed on the learning process and on the modulation of the conceptual aspects of parenting, while during the festivities what prevails is an interest towards the emotional and bodily disposition of being parents practiced through a kind of "learning by doing".

## 5. In the mirror of adoptive parenting

Since the beginning, the prevalent action of the concept of risk shows itself within the adoptive ties. Thus, the concerns of State agencies - and of the society as a whole - toward a rigorous educational training of the aspiring adoptive parents become reasonable, due to the risk that this kind of kinship seems to carry "naturally" from within (DiSilvio, 2008). Indeed, the need to arrive well prepared to the experience of "creating" a filiation tie between strangers - in order to make this experience as close as possible to the "true" bond, which is blood-rooted - is a vision shared by both professional experts and the common sense. It is a vision widely reproduced through the rhetorical discourses of the International Conventions as well as through the State rules governing adoption, especially intercountry adoption.

However, as I said above, the adoptive parents' educational strain reflects the dissemination and the progressive roots of a specific way of conceptualizing the parenting in contemporary Western societies. On the other hand, some researchers have shown how the study of the adoptive family, understood as an expression of a new kinship semantics in the globalized world, can be both a lens for observing the processes of production of the family (and the "parenting") as a

social artifact, and a fruitful opportunity to reflect on the particular mimetic intertwining between biological and “social” kinship in terms of discourses, practices and representations (DiSilvio, 2008; Yngvesson, 2010).

It is clear that the mimesis with the biological model plays a key role in the demand of educational trainings on the “good” adoptive parenting, since parents, as a social category, are called to legitimize the reproduction of new frames of meaning in both the individual and social everyday life produced by state agencies. So, according to the Italian law, the adoptive filiation is fully equal to the biological one, but, on the other hand, the couples aspiring to adopt as well as the associations of adoptive families are deeply immersed in the cultural texture they stem from (DiSilvio, 2010). Therefore, according to the adoptive agencies and the adoptive parents themselves, the concept of being “at risk” perfectly fits with the adopted child and his family.

Indeed, the child is considered to be a “poor” orphan coming from the so-called Second or Third World. Hence, he was surely subject to dramatic living experiences and several geographic, cultural and relational traumatic displacements. Finally, the child kinning within his new family is not “adequate” because it is not based on a blood bond. This framework will mark his/her individual outcomes throughout his/her life: perhaps the effects of the lived hazard will hide for a while but will inevitably come out later on. Therefore, the adoptive family is represented as a family already marked by the misfortune of an unnatural bond at the origin.

Thus, the limited possibilities of transformation and “redemption” imposed by the unavoidable effects of the condition of risk seem to highlight that parental apprenticeship is not only based on a “professional” intervention, as for the biological family, but it seems to need a further peer-to-peer support, carried out by those who are lucky enough to be already legally “included” in the social category of parents, in order to facilitate the acquisition of the new identity of adoptive parents.

## 6. Conclusion

The idea that trainings can play a prominent role in promoting self-esteem and a better individual awareness is well known in the educational domain (Furedi, 2005). However, it may seem unusual that this vision also applies to a particular social group such as parents. In fact, until the recent past, in Western countries the parents and their function were thought to be closely related to the biological events of conception and birth. These events share the attributes of “naturalness” with the actions and feelings linked to the care of offspring. But in recent years, being a parent has become a social fact more and more frequently than it had ever been before. Parenting is placed into a broader framework, where the family is considered to be a place of potential risk affecting the well-being of children. Nevertheless, the new “style” of hyper-parenting unveils something about the game played between the neoliberal ideology’s individual freedom claims and the issue of the childhood control, to which the “psy” sciences are not extraneous.

By following these remarks, I argue how the thick exploration of the production of a specific parenthood in Italy, such as the adoptive one, reveals ideologies, representations, practices and disciplines that intertwine and all contribute to the “making” of parenting (and childhood), in both representations and practices, through the use of specific discourses and professional tools. This particular making of meaning on parenting is mostly due to the spread of a therapeutic ethnos, conceived as an ideology “of aid”, that promotes on one hand a view of the individual as a “diminished subjectivity” and on the other the growing expectations towards an empowering learning based on introspection, self-perception of vulnerability and risk restraint. Then, the dissemination of this ideology carries out a reworking of the parenthood meaning, making these new ideas coherent with a wider vision on individual conduct in everyday life shared by the contemporary society as a whole.

These aspects are particularly evident in the training practices observed within the associations of adoptive families and represent important elements around which the parental goals of apprenticeship revolve, for both experienced and prospective parents. Hence, gazing through the lens of adoptive parenting, we may argue that the peer-to-peer educational activity, carried out by the associations of adoptive families who participated in the ethnography research, reveals not only the progressive rooting and diffusion of the “therapeutic ethnos” into the social fabric but also the practical declination of the ideology “of aid” as a tool for the “professionalization” of parenting.

## References

- Ariès, P. (1994). *Padri e figli nell'Europa medievale e moderna*. Bari: Laterza
- Bengtson, V. L., Acock, A. C., Dilworth-Anderson, P. & Klein, D. M. (2005). *Sourcebook of Family Theory & Research*. London: Sage Publications
- Boholm, A. and Corvellec, H. (2011). A relational theory of risk. *Journal of Risk Research*, 14(2), 175-190



- Bourdieu, P. (1996). On the Family as Realized Category. *Theory, Culture & Society*, 13, 12-26
- Bourke, J. (2005). *Fear: A Cultural History*. London: Virago Press
- Clarke, J., Hall, S., Jefferson, T. & Roberts, B. (2006). Subcultures, cultures and class. In Hall, S. and Jefferson, T. (Eds.). *Resistance through Rituals* (pp. 3-59). London: Routledge
- DeLoache, J. S. and Gottlieb, A. (2000). *A world of babies. Imagined Childcare Guides for Seven Societies*. Cambridge: Cambridge University Press
- DiSilvio, R. (2012). Strategie identitarie, cittadinanza e parentela. In Koensler, A. and Rossi, A. (Eds.), *Comprendere il dissenso. Etnografia e antropologia dei movimenti sociali* (pp.127-139). Perugia: Morlacchi (Forthcoming)
- DiSilvio, R. (2010). 'Almost the same, but not quite'. Fight between nature and culture in Italian adoptive rules and device, *conference paper*, Paris:FSMH. On line at: <http://unimib.academia.edu/RossanaDiSilvio/30552>
- DiSilvio, R. (2008). *Parentele di confine. La pratica adottiva tra desiderio locale e mondo globale*. Verona: Ombre Corte
- Gauchet, M. (2009). *Il figlio del desiderio. Una rivoluzione antropologica*. Milano: Vita&Pensiero
- Goody, J. (1969). *Comparative Studies in Kinship*. Stanford: Stanford University Press
- Clutton-Brock, T. H. (1991). *The Evolution of Parental Care*. Princeton: Princeton University Press
- Osofsky, J. D. and Thompson, M. D. (2000). *Adaptive and Maladaptive Parenting: Perspectives on Risk and Protective Factors*. In Shonkoff, J. P., and Meisels, S. J. (Eds.), *Handbook of Early Childhood Intervention* (2<sup>nd</sup> edn.) (pp. 54- 75). Cambridge: Cambridge University Press
- Quinlan, R. J. and Quinlan, M. B. (2007). Parenting and Cultures of Risk: A Comparative Analysis of Infidelity, Aggression, and Witchcraft. *American Anthropologist*, 109(1), 164-179
- Furedi, F. (2005). Knowing Me, Knowing You: The Rise of the Therapeutic Professionalism in the Education of the Adults. *Studies in the Education of Adults*, 37(2), 182-200
- Furedi, F. (2008). *Paranoid Parenting* (3<sup>rd</sup> edn.). London: Continuum
- Strathern Modell, J. (1994). *Kinship with Strangers: Adoption and Interpretations of Kinship in American Culture*. Berkeley: University of California Press
- Howell, S. (2007). *The Kinning of Foreigners. Transnational Adoption in a Global Perspective*. New York: Bergham Books
- Yngvesson, B. (2010). *Belonging in an Adopted World*. Chicago: University of Chicago Press
- Sandqvist, K. (1997). Swedish family policy and attempt to change paternal roles. In Lewis, C. & O'Brien, M. (Eds.), *Reassessing Fatherhood. New Observations on Fathers and the Modern Family* (pp. 144-160). London: Sage Publ.
- Schneider, D. M. (1980). *American Kinship. A Cultural Account*. Chicago: Chicago University Press
- Shirani, F., Henwood, K. & Coltart, C. (2012). Meeting the Challenges of Intensive Parenting Culture: Gender, Risk Management and the Moral Parent. *Sociology*, 46(1), 25-40
- Tulloch, J. and Lupton, D. (2003). *Risk and Everyday Life*. London: Sage Publ.
- Hewlett, B. S. (2000). Culture, History, and Sex: Anthropological Contributions to Conceptualizing Father Involvement. In Peters, E. and Randall, D.D. (Eds.). *Fatherhood: Research, Intervention and Policies* (pp. 59-74). Philadelphia: The Haworth Press
- Hoffman, D. M. (2010). Risky Investments: Parenting and the Production of the 'Resilient Child'. *Health, Risk and Society*, 12(4), 385-394
- Levi-Strauss, C. (1984). *Le strutture elementari della parentela*. Milano: Feltrinelli Editore
- Rose, N. (1998). *Inventing Our Selves. Psychology, Power, and Personhood*. Cambridge: Cambridge University Press
- Rose, N. (1999). *Governing the Soul. The Shaping of the Private Self*. (2<sup>nd</sup> edn.) London: Free Association Books
- Gramsci, A. (2001). *Quaderni dal carcere*. Vol. 2. Torino: Einaudi
- Pain, R. (2006). Paranoid Parenting? Rematerializing Risk and Fear for Children. *Social & Cultural Geography*, 7(2), 221-243
- Roche, K. M., Saiffudin, A. & Blum, R. W. (2008). Enduring Consequences of Parenting for Risk Behaviors from Adolescent to Early Adulthood. *Social Science & Medicine*, 66(9), 2023-2034
- Krais, B. and Gebauer, G. (2009). *Habitus*. Roma: Armando Editore

## Mobbing in the Academe: The Case of Albanian Universities

**M.Sc. Migena Buka<sup>1</sup>**

*Psychology Department, Tirana University*

**Prof. Dr. Theodhori Karaj<sup>2</sup>**

*Psychology Department, Tirana University*

---

**Abstract:** Mobbing is a new concept studied in the organizations, yet it is believed to have existed long before they gave it a name. Leymann (1996) introduced it for the first time, and since then the studies over the phenomenon have expanded. The present study deals with the mobbing in the workplace, in Albania. The study aims at establishing a prevalence of this phenomenon in academia, with no distinction whether it is a public or private institution. Other international studies have stated that universities are the main ground where mobbing especially flourishes. To the researcher's knowledge there are no studies to estimate the prevalence of mobbing in Albania. Moreover, it was looked into a correlational relation between mobbing and various consequences, such as turnover intentions, as well as psycho-somatic consequences. Based on other researchers' experiences, it was chosen to use self report questionnaires. 100 questionnaires were distributed to full time lecturers in various universities around Albania. The Negative Act Questionnaire was the instrument to measure mobbing and there were questions about different symptoms experienced and the medical expenditures. The percentages were calculated based on Leymann's definition about mobbing (at least once a week, for six months or more). The consequences of this phenomenon as expressed in physical, psychological symptoms are calculated and discussed.

**Keywords:** mobbing, academia, physical symptoms, psychological consequences.

---

The verb "to mob" was firstly used by Lorenz Konrad (1991), an ethomologist who introduced this word to explain the behavior of small animals attacking a single large animal (recall the classical example of small chicks attacking a snake and killing it by pecking). Later on, a social researcher in Sweden, Heinemann used this verb to study the behavior of kindergarten children during their break time. However, it wasn't until 1996, when Heinz Leymann introduced this verb and brought it to as a phenomenon to the industrial and organizational level. From 1996 and on there have been many studies in various countries to study and explain this phenomenon.

### Bullying or mobbing

One of the most discussed issues in the field is whether mobbing is a new concept, or it is just a reuse of bullying. The advocates of mobbing have detected some differences, such as: bullying involves certain amount of physical confrontation, whereas in mobbing it is almost impossible to witness it; bullying is viewed as more juvenile behaviors and occurs in school settings, but mobbing is more "mature" and can be seen only in organizations; bullying is more explicit, and generally it is easier to identify the aggressor and the bullied child, on the other hand, mobbing is more subtle and it is almost impossible to determine who mobbed whom, and why. However, the researchers use the expression "bullying in the workplace", therefore overcoming all the above mentioned differences. In the end, it appears that the real difference between mobbing and bullying in the workplace is the geographical location: mobbing is mostly used in Europe (Leymann, 1996; Zapf, Knorz, & Kulla, 1996; Efe & Ayaz, 2010; etc.), and in Australia (Shallcross, Sheehan, & Ramsay, 2008, etc.); whereas bullying in the workplace is a term mostly used in USA (Lewis, 2004; Cartwright & Cooper, 2007; etc.).

---

<sup>1</sup> M. Sc. Migena Buka is a lecturer in the Psychology Department, Faculty of Social Sciences, in Tirana University. Any inquiries related to this study can be sent to her email address: [migena.buka@unitir.edu.al](mailto:migena.buka@unitir.edu.al)

<sup>2</sup> Prof. Dr. Theodhori Karaj is the Dean of the Faculty of Social Sciences in Tirana University. E-mail: [dhorikaraj@yahoo.com](mailto:dhorikaraj@yahoo.com)

## Definition of Mobbing

There have been a lot of mobbing definitions according to the place where the study was conducted and the researchers. Some of the definitions used by different researchers are given below:

### **Leymann, 1996**

*Psychological terror or mobbing in working life involves hostile and unethical communication, which is directed in a systematic way by one or a few individuals mainly toward one individual who, due to mobbing is pushed in a helpless and defenseless position, being held there by means of continuing mobbing activities. These actions occur on a very frequent basis (statistical definition: at least once a week) and over a long period of time (statistical definition: at least six months of duration). Because of the high frequency and the long duration of the hostile behavior, this maltreatment results in considerable psychological, psychosomatic, and social misery. The definition excludes temporary conflicts and focuses on a point in time where the psychosocial situation begins to result in psychiatrically or psychosomatically pathologic conditions. In other words, the distinction between "conflict" and "mobbing" does not focus on what is done, or how it is done, but on the frequency and duration of what is done.*

### **Davenport, Schwartz, and Elliot, 2005**

*[Workplace bullying] is an emotional assault. It begins when an individual becomes the target of disrespectful and harmful behavior. Through innuendo, rumors, and public discrediting, a hostile environment is created in which one individual gathers others to willingly, or unwillingly, participate in continuous malevolent actions to force a person out of the workplace.*

### **Hoel, 2005**

*We define bullying as a situation where one or several individuals persistently over a period of time perceive themselves to be on the receiving end of negative actions from one or several persons, in a situation where the target of bullying has difficulty in defending him or herself against these actions. We will not refer to a one-off incident as bullying.*

### **Workplace Bullying Institute, online**

*Repeated, health-harming mistreatment of one or more persons (the targets) by one or more perpetrators that takes one or more of the following forms: verbal abuse; or offensive conduct/behaviors (including nonverbal) which are threatening, humiliating, or intimidating; or work interference—sabotage—which prevents work from getting done.*

In this study, the definition is taken from Leymann's study. It is very detailed and operationally defines most of the issues and factors while this phenomenon occurs.

## Method

### Participants

150 questionnaires were distributed to full time lecturers in 4 different universities in Albania. In total 105 completed questionnaires were returned, with a return rate of 70%. Of the respondents, 68% were female and 32% were male. The age mean was 38.4 years old ( $SD=8.3$ ), with an average tenure of 14.7 years ( $SD=5.9$ ).

### Instruments

Various studies have shown that the best way to measure mobbing in the workplace is self report ((Leymann, 1990); (Einarsen, Hoel, & Notelaars, 2009)). Leymann proposed the Leymann's Inventory of Psychological Terror (LIPT), while Einarsen proposes the Negative Acts Questionnaire (NAQ). In the this study, the latter's revised form was used, because: it is used in the region Turkey (Efe & Ayaz, 2010); has shown excellent psychometric properties (Einarsen, Hoel, & Notelaars, 2009) (Palaz, Ozkan, Sari, Goze, Sahin, & Akkurt, 2008); and the revised version was seen as more appropriate and understandable and close to the Albanian culture as per researchers' evaluation. The NAQ-R was translated in Albanian and back translated in English twice. It was piloted in 20 full time lecturers, who were not included in the final sample, and the scale showed a good reliability with Chronbach's  $\alpha=0.89$ .

Since there are different studies that have used single items measures for the turnover intention of the employees, it seems that this is the shortest and simplest way (Gerhart, 1990)). However, in this study a four-item scale was used. The response options ranged from 1—very unlikely to 4—highly likely. The responses were coded such that high scores reflect stronger intentions to leave the organization. Although, different studies have shown that single item scales work, a 4-item scale was considered to do better than one-item scale. The same scale was used by the researcher (Buka, 2005) and it was found to have a reliability  $\alpha = 0.81$  and very good of fitness index,  $GFI = 0.97$ . In the present study, the Chronbach's  $\alpha$  for turnover scale was 0.79.

Also in the questionnaire were included: questions about physiological and psychological symptoms that might have been experienced during the past six months.

## Results

### Prevalence of Mobbing

To the authors' knowledge there is no previous study in Albania that has tried to establish the prevalence of mobbing in the workplace. Taking into consideration only one mobbing behavior occurring at least once during the past six months, 91% of the participants stated that they have been mobbed. However, when restricting the criteria in once per week or more, then 7% of the participants resulted as mobbed during the past six months.

It was found that the victims of mobbing had a slightly higher intention to leave the job (37%) than the ones who were not (33.5%). But when t-test was conducted for these two groups no statically significant difference was found.

Moreover, the differences between the physiological and psychological symptoms experienced in the past six months were investigated among the mobbed victims and the other employees. There was a significant correlation between physiological and psychological symptoms with being or not a mobbing victim. For mobbing and physiological symptoms  $r=0.32$ ,  $p<0.05$ , whereas for mobbing and psychological symptoms  $r=0.38$ ,  $p<0.05$ . The most important psychological factors were found to be: low motivation, anxiety, and depression; while the most important physiological factors were found to be: sleeplessness, fatigue, and headache. Because the age varied considerably, the correlation coefficient were found by controlling for the age.

In order to determine whether it was really mobbing causing these symptoms, two logit regression analysis were conducted. The variables were dichotomized as follows: mobbed/not mobbed and experiencing or not experiencing the physiological/psychological symptoms. It was found that the regression for the psychological symptoms was statistically significant,  $F=3.24$ ,  $p<0.05$ , suggesting that mobbing has its own impact on psychological symptoms. However, the regression analysis did not result statistically significant for the physiological symptoms ( $F=1.32$ ,  $p>0.05$ ). Such a result suggests that the physiological symptoms may have been caused by something else, but still are associated more with the mobbed victims.

## Discussion

This study aimed at establishing a prevalence of mobbing phenomena in Albania, within the higher education institutions. According to the outcome from the NAQ-R, 7% of the participants resulted to be victims of mobbing behavior in their workplace. This finding is in line with other studies which suggest that the prevalence of mobbing varies from 6%-11% at any point in time ((Agervold & Mikkelsen, 2004) (Mikkelsen & Einarsen, 2001) (Palaz, Ozkan, Sari, Goze, Sahin, & Akkurt, 2008)).

Although it was expected that the mobbing victims would have significantly more intention to leave the current job, the study did not confirm this hypothesis. One explanation may be the actual socio-economic status of Albania. Due to high rate of unemployment 13.4% (Annual Report, 2011), the employees would rather stay in the current employment and put up with mobbing behaviors, than resign and be unemployed.

The correlation between the physiological and psychological symptoms and mobbing levels might be effected by the size of sample, by the desirability of answers that the participants might have given. Moreover, the regression did not result statistically significant for the physiological symptoms, which may suggest that mobbing is not related to physiological problems.

Other analysis showed that there was no difference with respect to age, gender and education levels. These findings suggest that, as Leymann (1996) has put it, that mobbing does not discriminate between man or woman, young or old, more educated or not. It simply picks someone, and goes on with its way of putting employees down, with no choice to recover.

## Conclusions

The present study tried to bring some answers to mobbing in the workplace in higher education institutions in Albania. However, this study is still modest considering the severity of the issue. This study has only scratched the surface, therefore there is a serious need to further study the phenomenon of mobbing in the working place.

Moreover, standardizing the instruments for Albania would give more relevant and reliable results.

Another issue to be considered is the inclusion of other factors, such as: other working areas, distinction public private institutions, personality traits, gender, age, performance level, etc.

### References

- Agervold, M., & Mikkelsen, E. G. (2004). Relationships between bullying, psychosocial work environment and individual stress reactions. *Work & Stress*, 18 (4), 336-351.
- (2011). *Annual Report*. Tirana: Bank of Albania.
- Buka, M. (2005). *THE JOB ATTITUDE DIFFERENCES AMONG PUBLIC AND PRIVATE SCHOOL TEACHERS IN ALBANIA*. Ankara: Middle East Technical University.
- Cartwright, S., & Cooper, C. L. (2007). Hazards to health: The problem of workplace bullying. *The Psychologist*, 20 (5), 284-287.
- Efe, S. Y., & Ayaz, S. (2010). Mobbing against nurses in the workplace in Turkey. *International Nursing Review* (57), 328-334.
- Einarsen, S., Hoel, H., & Notelaars, G. (2009). Measuring exposure to bullying and harassment at work: Validity, factor structure and psychometric properties of the Negative Acts Questionnaire-Revised. *Work & Stress*, 23 (1), 24-44.
- Gerhart, B. (1990). Voluntary turnover and alternative job opportunities. *Journal of Applied Psychology*, 75 (5), 467 – 476.
- Lewis, D. (2004). Bullying at work: the impact of shame among university and college lecturers. *British Journal of Guidance & Counselling*, 32 (3).
- Leymann, H. (1990). Mobbing and Psychological Terror at Workplaces. *Violence and Victims*, 5, 119-126.
- Leymann, H. (1996). The Content and Development of Mobbing at Work. *The Journal of Work and Organizational Psychology*, 5 (2), 165-184.
- McAvoy, B. R., & Murtagh, J. (2003). The Silent Epidemic. *British Medical Journal*, 326 (7393), 776-777.
- Mikkelsen, E. G., & Einarsen, S. (2001). Bullying in Danish work-life: Prevalence and health correlates. *European Journal of Work and Organizational Psychology*, 10 (4), 393-413.
- Palaz, S., Ozkan, S., Sari, N., Goze, F., Sahin, N., & Akkurt, O. (2008). İş Yerinde Psikolojik Taciz (Mobbing), Davranışları Üzerine Bir Araştırma; Bandırma Örneği. *"İş,Güç" Endüstri İlişkileri ve İnsan Kaynakları Dergisi*, 10 (4), 41-58.
- Resch, M., & Schubinski, M. (1996). Mobbing - Prevention and Management in Organizations. *European Journal of Work and Organizational Psychology*, 5 (2), 295-307.
- Shallcross, L., Sheehan, M., & Ramsay, S. (2008). Workplace Mobbing: Experiences In The Public Sector. *International Journal of Organisational Behaviour*, 13 (2), 56-70.
- Vickers, M. H. (2010). Introduction—Bullying, Mobbing, and Violence in Public Service Workplaces. *Administrative Theory & Praxis*, 32 (1), 7-24.
- Zapf, D., Knorz, C., & Kulla, M. (1996). On the Relationship Between Mobbing Factors and Job Content, Social Work Environment, and Health Outcomes. *European Journal of Work and Organizational Psychology*, 5 (2), 215-237.

## NATO Enlargement: Past and Present Challenges

Inida Methoxha

PhD candidate  
Institute for European Studies,  
University of Tirana, Albania  
E-mail: [inida.methoxha@mfa.gov.al](mailto:inida.methoxha@mfa.gov.al)

---

**Abstract:** NATO has a solid enlargement experience since its creation in 1949. NATO has undergone 6 rounds of enlargements. NATO enlargement policy during Cold War was oriented to prevent the expansion of communist system in the borders of the West Europe and ensuring the security of this area. The end of the Cold War had its impact on the European security architecture. The collapse of communism provoked significant changes for the European Security and for the North Atlantic Organization, which remained the only military and political alliance responsible for the security of Euro Atlantic area. This new security environment naturally poses many questions about the NATO's transformation and brought into question the enlargement policy of the Alliance. This paper attempts to present the past experience and the present challenges of NATO Enlargement, considering that this process has been very controversial and critical. This current paper concludes that despite uncertainties, NATO should continue its further expansion, providing strong alliances with a view to enhance the contribution to the peace and to face with the new challenges arising in the international security environment but maintaining the balance with Russia.

**Key words:** NATO, enlargement, security, challenges,

---

During the period of 40 years, NATO proved to be the leading international institution, which successfully ensured the preservation of peace and security between two opposite blocs. The purpose of NATO creation in 1949 was clearly to prevent the spread of the communist system further West that become known as West Europe during the Cold War. NATO was originally established as a collective defense organization to provide security for its members to an external threat and it is always portrayed as more than a traditional military alliance, which has successfully performed its main task during the last half a century, and as long as the Warsaw Pact led by the Soviet Union stood, NATO was the most important defense's mechanism.

NATO enlargement policy during Cold War was oriented to prevent the expansion of communist system in the borders of the West Europe and ensuring the security of this area.

Even though in the Washington Treaty was not specified any specific threat, had no doubt that the Alliance's attention during these 40 years was focused on the Soviet Union. The enlargement policy of NATO during the Cold War was mainly based upon this specific threat.

NATO has carried out six rounds of enlargements since its founding in 1949. At that time, there were 12 original signatories of the Alliance Treaty. They included Belgium, Canada, Denmark, France, Iceland, Italy, Luxembourg, the Netherlands, Norway, Portugal, United Kingdom and the USA. The first round of expansion took place in 1952 with the inclusion of Turkey and Greece, second expansion stage in 1955, West Germany, third enlargement in 1982 with Spain.

The consensus for the founding states of NATO was not a coincidence, it comes as a result of many discussions and negotiations which were concluded with the adoption of "Washington Letter" in September of 1949. In this document were three groups of states called (hard core, stepping stones and the goats) (Smith fq.26). United States of America, Canada, UK, France, Netherlands, Belgium and Luxembourg were in the first "hard core", these countries share the same strategy and form the so-called heart of the Alliance (Smith fq.26). Norway, Denmark, Iceland, Ireland and Portugal constitute "stepping stones", whose geographical position of these countries made significant military strategies. The last group consisted of Italy, Turkey and Greece, none of these states were not considered appropriate in terms of geographic, strategic or ideological, but were no less important for Western Europe (Smith fq.27).

In the process of enlargement during the Cold War, we can point out some elements that has mainly influenced such as a) the possibility of direct military threat, due to its geographical location confrontation with the Soviet Union, b) the projection of the position of these states from the western countries, c) the overlapping interests of member countries of NATO with those new members and d) the Cold War developments influenced countries of NATO members in giving their consensus in accepting new members. (Smith, 2000, p.178)

The collapse of the Soviet Union and Warsaw Pact raised a series of questions regarding the future of NATO, maintaining security of this organism or its replacement with a security structure, which would include the former member of the Warsaw Pact. From this debate gradually was reached a consensus according to which NATO should be preserved as an organization, but it should be transformed into the so called "new architecture of European security", which would include a number of security structures and should establish links with members of the Warsaw Pact<sup>1</sup>.

The new security environment and challenges of the 21<sup>st</sup> century in the field of security, has influenced NATO to a constant and continuous transformation. The main challenge of NATO transformation is the transition from a defense Alliance in a flexible security Alliance that should address global security threats.<sup>2</sup> These new threats are not traditional ones and old threats must be considered collectively. Of course as long as the security environment is unpredictable, as well as at regional and international level, NATO will have to transform itself in all aspects. These powerful new threats have affected the alliance's purpose, objectives, membership and missions (Peterson 2011, p.2).

### Enlargement challenges after Cold War: Towards the Enlargement

The new reality definitely put forward the Alliance new challenges. One of them was the new enlargement policy of NATO, and the building a new Europe of democratic values, bringing Eastern European countries closer to the West, ending the Iron Curtain that was decided by Yalta Conference<sup>3</sup>.

Initially, countries of Central and Eastern Europe were very enthusiastic regarding the membership in the Alliance as a guarantee that they will not be controlled anymore by the former Soviet Union and as a "security umbrella" in the vacuum of the security created after the collapse of Warsaw Pact.

The decision for NATO enlargement has not been easy and sometimes very critical and hesitant from Western countries. The main decision for the enlargement policy of NATO was taken in 1991 with the new strategic concept of the Alliance after the Cold War. The legal reference of Enlargement is Article 10 of Treaty of Washington. For the implementation of this enlargement policy, NATO created the forms and mechanisms to establish relationships with former Warsaw Pact members, such as the PfP, MAP, etc. These mechanisms set membership criteria equal for all countries aspiring to join NATO.

Starting in 1995, NATO agreed to expand the Alliance and presented the "Study on NATO Enlargement" which foresaw the merits of accepting new members and how they will be realized. This study was a result of pressure from the U.S. and Germany over the North Atlantic Council to start the work on a study on the modalities, principles and implications of NATO enlargement (Smith, 2000). This was the first decision of the Alliance to open a process that will ensure each country's ability to meet specific conditions of membership.

This study examines "why" and "how" of future admissions into the Alliance. The Study on NATO Enlargement concluded that, with the end of the Cold War and the dissolution of the Warsaw Pact, there was both a need for and a unique opportunity to build a better security in the entire Euro-Atlantic area without recreating dividing lines.<sup>4</sup>

Study on NATO enlargement provided the basic conditions that must meet the countries who wanted NATO membership:

1. Functioning of a democratic political system (which included free elections and fair elections and respect the freedoms and human rights, law and market economy;
2. Democratic civil and military relations;
3. Treatment of minorities in accordance with the Organization for Security and Cooperation in Europe (OSCE);
4. Settlement of disputes with neighboring countries and the commitment to resolve them by peaceful means;
5. A military contribution to the Alliance and the willingness to cooperate and act jointly with other Alliance members.

---

<sup>1</sup> NATO-s Handbook, 2006, p.198, <http://www.nato.int/docu/handbook/2006/hb-al-2006.html>

<sup>2</sup> Roth.Willam, V. Senator, "Nato in the 21st century:" published by North Atlantic Assembly, Printed by: Vay Ruys s.a Brussels, September 1998, p.47.

<sup>3</sup> An agreement reached near the end of World War II, between President Franklin D. Roosevelt of the United States, Prime Minister Winston Churchill of Britain, and Premier Joseph Stalin of the Soviet Union. The three met in Yalta, in the southern Soviet Union, in February 1945

<sup>4</sup> Study on NATO Enlargement", NATO On-line library: <http://www.nato.int/docu/basicxt/enl-9501.htm>

Year 1997 has been extraordinary year for NATO. The first enlargement after Cold War with three new members; establishment of new relationship with Russia and Ukraine, the Council created the NATO-Russia Council and Euro-Atlantic Cooperation with 44 partners and developed the Mediterranean dialogue and took the initiative to revise the strategic concept.

NATO enlargement after the end of the Cold War has been gradual, initially with 3, 9 and 2 members.

Three rounds of enlargement:

1. 1999 (Czech Republic, Poland and Hungary);
2. 2004 (Bulgaria, Estonia, Latvia, Lithuania, Romania, Slovakia, and Slovenia)
3. 2009 (Albania and Croatia).

Enlargement is in fact an on-going and dynamic process, based upon Article 10 of the Washington Treaty, which states that membership, is open to any "European State in a position to further the principles of this Treaty and to contribute to the security of the North Atlantic area"<sup>5</sup>.

The main principle of the enlargement process is that the new members are expected not only benefit from membership in the Alliance but also to contribute to collective defense alliance. They should be prepared to participate in other Alliance missions (Trifunovska, 1996 p.305).

States seeking the membership in NATO must demonstrate that they were able to meet the principles of the Washington Treaty and to contribute to the security of the Euro-Atlantic area. In this sense they are expected to meet the political, economic and military that are specifically addressed in the Study of NATO Enlargement, 1995.

Some of the crucial objectives that NATO has taken into account for its enlargement policy were:

- a. Strengthening and consolidation of NATO as an organization, that increase stability and security of individual states as a candidate and member countries, even countries that are not members;
- b. Increased security and stability throughout the Euro-Atlantic region,
- c. Assistance in terms of European security architecture and CESDP (common European policy of security and defense), etc<sup>6</sup>.

However, we can say that the opening of NATO eastward is conducted in accordance with its strategic vision to build an Europe "undivided and free". This process has moved forward with the objectives set in the Membership Action Plan (MAP) and according to strategic priorities of NATO. In this context, NATO should consider all the applicant countries equally and do not discriminate geographical or historical reasons.

Rounds of enlargement of NATO after the Cold War have been the result of political decision more than military decisions (Smith 2000). Each of these six rounds of NATO enlargement had its roots in the security needs.

Other countries already had their roadmap. This expansion helped to eliminate divisions and lines dividing the Cold War. It would be unfair to exclude the democratic countries of Central and Eastern Europe from Western institutions only because they have been behind the Iron Curtain against their will.

The expansion of NATO and the European Union towards the East has been a significant dimension of the transformation of Europe since the Cold War.

## Enlargement debate

NATO enlargement certainly generated plenty of debate both within members of NATO and aspiring countries and especially with Russia.

In the history of NATO enlargement has been and will be arguments pro and against enlargement. Debates cannot be avoid. Some of the main arguments against which have accompanied the enlargement processes have been:

Loss of ability to be able to take military and political decisions necessary. That's the fact that NATO takes decisions on the basis of consensus. The big question of all is what will happen when the Alliance will grow with 35 member

---

<sup>5</sup> The North Atlantic Treaty , 4 April 1949 published by the North Atlantic Assembly, <http://www>.

<sup>6</sup> NATO Hand Book, 2006



countries? There are suggestions that NATO should reconsider the decision making system but still not known whether or not will happen? Will the countries have a veto? Who will have it?

Another concern is the level of the armed forces of these countries not in the standards required by the Alliance, and the possible involvement of Alliance in territorial and ethnic conflicts with their neighboring states.

Obstacles have emerged as well as within the countries of Central and Eastern Europe. In some candidate countries have had internal arguments of politicians who opposed the admission of membership in NATO. Financial liability as a heavy burden for the economies of countries and the membership would weaken the country in place to strengthen him (here can make an example of the previous position of Serbia, Armenia and to some extent and the Ukraine).

There was not a previous debate about costs in the original creation of NATO, or in any previous expansion. This debate has been shown in 1998, the decision for enlargement with three Central European countries and continues even in nowadays. The argument against NATO enlargement is the cost and it is not shared equally between the members states.

Enlargement provokes Russia, especially in the East and consequently may terminate cooperation needed to guarantee the peace and security especially after 2001.

As long as NATO continues the process of enlarging, the peace and stability once limited to Western Europe can spread and include the rest of the Europe as well. The greatest threat to stability in this region would be the perception that some nations will be left outside the process. Such perception could give rise to new anxieties and old disputes that could be difficult to control or moderate. (William, V, p.52)

*Russian attitude to NATO enlargement policy*

Any discussion on NATO and its enlargement in particular, should consider the Russian factor. Russia during the three rounds of enlargement has raised its claims and concerns about the process of enlargement of the Alliance. Russia's position has not been the same if we compare the three rounds of NATO enlargement. But still unclear is to understand the Russian position on membership for Ukraine and Georgia, countries where Russia has a traditional influence (case of Ossetia and Abkhazia).

What are some of Russia's concerns in relation to NATO enlargement?

1. First, the presence of NATO in Ukraine would threaten Russian control in the Black Sea.
2. Second are 11 million ethnic Russian living in Ukraine, which means more than 20% of the population.
3. Third, NATO will have a direct border with Russia.
4. NATO expansion to Russia means reducing its influence, particularly in countries which have been traditionally under the Russian influence.
5. Negative attitude towards enlargement of the Alliance of the majority of Russian population.<sup>7</sup>

### **NATO must meet the enlargement challenges**

NATO has pledged that the accession of Albania and Croatia to the Alliance will not be the last phase of enlargement and the door to NATO membership will remain open to other states who wish to join and meet the requirements for membership. In spite of this general agreement articulated at the new strategic concept of December 2010 and at the Declaration of heads of states to the Chicago summit, the allies remain uncertain concerning how to move ahead. Some would prefer to pause, others have strongly advocated giving enlargement a southern dimension, some, however object to moving ahead with Ukraine and Georgia.

The growing number beyond 35 will increase the political, social and cultural and economic diversity of the Alliance. Consequently, fostering a consensus within the Alliance will become a greater challenge.

NATO enlargement should be carefully paced, not paused (William V. Roth, 1998). The next summit should initiate the next phase of enlargement demonstrating that enlargement will be a continuing process. The expansion of NATO to include eager and viable candidates reinforces NATO's strength and leads toward a European security system that is inclusive and stabilizing.

---

<sup>7</sup> <http://www.eusec.org/baranovsky.htm> , Vladimir Baranovsky, Prepared for the IISS/CEPS European Security Forum, Brussels, 9 July 2001

Candidates for membership should be judged with the reference to the guidelines provided in the Study on NATO enlargement, regardless of their geographic location in the Europe. Of course, the Allies should carefully monitor the continuing process of enlargements and its effects on the overall security and effectiveness of the Alliance.

The North Atlantic Treaty remains a vital document whose words express the basic values and the interests shared by parties to the treaty. The treaty provides a framework that should be expanded to include other European democracies who share the values expressed in the Treaty and are ready to contribute to fulfillment of the Treaty's goals.

### Concluding remarks

Obviously the process of NATO enlargement has not been an easy process and supported by all, there were doubts, objections and debate, but despite all this, NATO's policy of open doors functioned and continues to remain so by being sure that this is the only way of creating a Europe united, democratic and free.

NATO membership has helped countries to overcome difficulties, to enter to the path of reforms and progress toward rapprochement with Western countries.

Europe vision of a stable and secure area, in which NATO has the lead role implies cooperation with Russia which has a strong potential in the world politics.

The Alliance is committed to maintain its 'open door' policy for the European countries. The new concept sets the goal of enhancing partnerships through flexible formats that bring NATO and its partners together-across and beyond existing frameworks.<sup>8</sup>

This Article aims to conclude that the open-door policy of NATO will continue and countries must meet the criteria for enlargement as well as to cooperate with NATO in peacekeeping missions, and to respect the bilateral relations with other states. On the other hand NATO must continue its further expansion, providing strong alliances with a view to increase the contributions for the security of its defense and maintenance of the peace.

Naturally, future enlargement of NATO will help us to create a clearer picture of the enlargement process.

### References

- Barroso.Emanuel, Political Guidelines for the next Commission, September 3, 2009 [http://ec.europa.eu/commission\\_barroso/president/pdf/press\\_en.pdf](http://ec.europa.eu/commission_barroso/president/pdf/press_en.pdf), p.3
- Caparini. Marina 2003, Security sector reform and NATO and EU enlargements, Sipri
- Demi. Leonard, "European Enlargement and the integration of the Western Balkans", Dudaj, Tirana 2009.
- Faber Anner, 2009 Enlarging the European Union: Effects on the new member states and the EU (<http://tepsa.be/Enlarging%20the%20European%20Union.pdf>)
- Hopkinson. William, Enlargement: New NATO, Institute for Security Studies, Western European Union.
- Rakipi. Albert, 2008, "Weak States & Security 2008", Albanian Institution for International Studies (AIIS) Tirana 2008.
- "A larger EU-A more Secure Europe, Study of the consequences for Security of EU Enlargement", Stockholm. 1997, Norsteads Tryckeli AB, Fritzes, 1997.
- Roth.Willam, V. Senator, "Nato in the 21st century:" published by North Atlantic Assembly, Printed by: Vay Ruys s.a Brussels, September 1998.
- Peterson. James W, "NATO and Terrorism", The Continuum International Publishing Group, New York, 2011.
- Knezovic. Sandro -Complementarity or Competition?-EU and NATO Enlargement processes and their effects on regional cooperation, National Defence Academy and Bureau for Security Policy at the Austrian Ministry of Defence in co-operation with PFP Consortium of Defense Academies and Security Studies Institutes, Vienne 2007
- Trifunovska Snežana The Transatlantic alliance on the eve of the new millennium, 1996
- Shalamanov. Velizar 2011, Nato's Retirement? The Centre of European Security Studies (CESS) 2011.

---

<sup>8</sup> Cooperative security-multinational solutions to global issues, Anders Fogh Rasmussen, NATO Secretary General. [www.nato.int](http://www.nato.int)

## Portuguese Diaspora Narratives

**Padrão, Maria Helena (PHd)**

E-mail: [helenapadiao@hotmail.com](mailto:helenapadiao@hotmail.com)

**Vieira, Célia (PHd)**

**Rio Novo, Isabel (PHd)**

**Oliveira, Clementina (Master)**

**Padrão, Reinaldo (PHd)**

*ISMAI (Instituto Superior da Maia), Portugal.*

*CELCC-CEL (Centro de Estudos de Língua, Comunicação e Cultura (ISMAI) – Centro e Estudos em Letras (UTAD),  
Department of Communication and Information Sciences)*

---

**Abstract:** This study seeks to understand the consequences of this phenomenon (Diaspora) in the relocation of human resources from other countries to Portugal and to evaluate this impact. With decolonization and later integration into the European Union, some changes occurred in social and cultural identity. Portugal has become a host country. This study examines the narratives of the portuguese settlers of Angola and the fiction narratives about this subject. We created a database with information about individual characteristics of the portuguese settlers of Angola (gender, age, education level, qualification level, occupation, and emotions). We opted for the use of qualitative method for agreeing Stiles (1993, in Gill, 2000), who argues that the purpose of qualitative methods for the condensation of human experience into words isn't the reduction in its symbolic numbers. In analyzing the content of these interviews we opted for the analysis of narrative research method that has been increasingly used, namely to study specific periods (Farrell, Rosenberg & Rosenberg, 1993, in Zilber et al, 1998), such as migrations. This project aims to re-interpret and re-think the effects of portuguese diaspora, during and after colonialism period by giving voice to those who were categorized as returned people. Moreover, this study also aims to take into account the visions of portuguese writers, in order to consider their perceptions

**Keywords:** diaspora, narratives, fiction, luso-topicalism, homeland.

---

### 1. Introduction

This study seeks to understand the consequences of portuguese diaspora in the relocation of human people in Portugal and to evaluate this impact on their lives, through life stories and through fiction narratives.

#### 1.1 The luso-tropicalism

In this project we pretend to understand the named concept *luso-tropicalism* as the main responsible for the frustration feeling of the returned people this feeling has contributed to compose a specific self-image in which returned portuguese people can be included.

The *luso-tropicalism* provides the national imaginary and reaffirms the relationship between Portugal and the tropics such as Gilberto Freyre (1940) sustains about the proximity and cooperation between portuguese and the other peoples of tropics. This concept can represent the most original feeling of those who lived in these countries, namely, in Angola. This feeling allows us to understand how it touches the identities of both countries and gives them a unique way of life representation.

After 1945 the formulation of laws were mainly guided by the will to project the image of a united Portugal in accordance with the cultural cognitive understanding of the African colonies, therefore legitimizing a fight to keep them under portuguese rules.

The *Organic Charter of the Portuguese Colonial Empire* was renamed the *Organic Law of the Portuguese Overseas Provinces* in 1953 to erase references to the notions of 'colonies' and 'empire' in Portuguese Law. Indeed, facing an increasing international anti-colonization movement, Portugal put great emphasis upon its singularity as an *atypical* colonialism. Meanwhile the propagandistic process was based upon the ideal of *luso-tropicalism* according to which the

portuguese had culturally inclination towards adaptation and miscegenation, mutual understanding and equal treatment. Therefore Portugal reaffirms that the overseas territories were Portugal's country. So this situation allowed Portugal to justify the use of force to defend the country's territorial unity and reaffirmed the equality of status between the colonies and Metropolis Portugal.

Freyre's ideas were largely divulgated by mass media in the provinces, in the metropolis, in the universities, and so on. Therefore, he talked with politicians and writers, such as António Sérgio, Aquilino Ribeiro, João de Barros, Ferreira de Castro e Casais Monteiro.

According to Freyre, portuguese people not only felt respect towards the other, but also loved the miscegenation with the other, assumed the affectionate alterity, and became with the other one family. Gilberto Freyre also refers that, since 1950, the efforts upon the necessity of understanding Portugal and the provinces like a whole and singular country became the main preoccupation of the Estado Novo.

They thought that it would be possible to build a new way of life, with only one language, one identity, one territory, one great feeling of "portugalidade".

In 25th April, 1974, the "Movimento de Oficiais das Forças Armadas" the Armed Forces Movement (MFA), finished the Estado Novo, Salazar regime, the last dictatorship of Europe, and that was in power since 40 years, and negotiated the decolonization of its African colonies. Angola became independent in November 1975.

## 1.2 The new homeless

This study seeks to understand the consequences of the decolonization phenomenon in the relocation of human people, specifically, people from Angola to Portugal; and evaluate the impact of these "migrants", including help to clarify the mechanisms for determining the integration and interactions in the new context.

Returned portuguese people who participated in this study were formed in this conceptualization, integrated in the *luso-tropicalism* ideal, so, they felt portuguese, they thought portuguese, they were proud of their largest fraternity with native people that they thought they were portuguese too.

When they were forced to leave Angola, they felt completely disoriented. They could not understand the changes in their lives: they couldn't stay in Angola, because it wasn't their homeland, but they couldn't return to Portugal because they had no home, no family, no affective land.

Adriano Moreira (2001) refers that Portugal had configured a new humanism and had also implanted a human democracy in those countries to where Portugal expanded, and this also accentuates the christian role of human relations in the whole portuguese nation mainly because of the absence of prejudiced ideas against miscegenation.

The post 25th April, the civil wars in the new nations, such as Angola, the chaotic and under pressure decolonization, seemed to reveal the *luso-tropicalism* without sense, but it was only in 1996, with the Lusofonia project, that has been created the Comunidade dos Países de Língua Portuguesa (CPLP), united in a common feeling and interests.

Portugal and the CPLP recuperated the portuguese language as something that could restore the *luso-tropicalism* ideal.

We opted for the use of qualitative methods, for agreeing Stiles (1993, in Gill, 2000), who argues that the purpose of qualitative methods for the condensation of human experience into words isn't the reduction in its symbolic numbers. In analyzing the content of these interviews we opted for the analysis of narrative research method that has been increasingly used, namely to study specific periods (Farrell, Rosenberg & Rosenberg, 1993, in Zilber *et al.*, 1998), such as migrations.

In this framework, the "decolonization/return" phenomenon would be classified as non-normative event of life, since only a minority of the global population migrates due to either the lack of economic resources (mainly) or other reasons.

Decolonization/return is a modification event at several levels, such as relationships, routines, roles, which might interfere with the concept of the subjects about themselves and the world (Schlossberg, Waters & Goodman, 1995, in Pinheiro and Ferreira, 2002).

Adaptation may also be influenced by other variables, such as the individual's perception regarding the event and the characteristics of pre and post return contexts.

Mobility is a transition that can be seen and felt as a crisis, only if the subject considers it as such, (Evans, Forney & Guido-DiBrito, 1998), highlighting the importance of the perception of the phenomenon.

Bronfenbrenner (1986, in Campos, 1990) argues that one of the moments of transition that occurs in people's lives is the passage from a micro-system to another, being this passage considered a troubled moment. This troubled moment is associated normally with high level of stress.

Hood and Ferreira (1983, *in* Caires & Almeida, 2001) envisage the high levels of stress associated with changes regarding three often difficult processes: the geographical separation, the emotional separation and the validation of the ability to be successful (Pereira, 2004).

Venâncio (2000) said that this moment must be considered as "crisis", at which the existing balance is questioned because there is a need for personal and relational re-organization that leads to the development of new structures and strategies which are appropriate for the new situation.

Furnham (1997, *in* Samutelela, 2001) considers that the main difficulties for migrants are the adaptation to a new culture and the feeling of nostalgia for the family and the home country. In this specific case, and this specific migration, the returned people are a specific kind of migration. It's a migration to the same country but it's an imposed and non-volunteer mobility. Returned people are inserted in the same culture, in the same way of life, in the same history and in the same identity, but the feeling of nostalgia is evident, in many cases due to the family separation, in other cases due to the home separation and also, in this particular case, due to the instability of the revolutionary period.

Fisher and Hood (1987) define homesickness as nostalgia which is characterized by a strong worrisome concerning home and family, a need to return home, a feeling of regret (pain) towards home and family and, moreover, a frequent feeling of unhappiness, discomfort and disorientation in the new place.

## 2. Methods

We created a database with information about individual characteristics of the portuguese settlers of Angola (gender, age, education level, qualification level, occupation, and emotions). We opted for the use of qualitative methods for agreeing Stiles (1993, *in* Gill, 2000), who argues that the purpose of qualitative methods for the condensation of human experience into words isn't the reduction in its symbolic numbers. In analyzing the content of these interviews we opted for the analysis of narrative research method that has been increasingly used, namely to study specific periods (Farrell, Rosenberg & Rosenberg, 1993, *in* Zilber *et al.*, 1998), such as migrations.

Portuguese adults (women and men) between the age of thirty five and 90 years were interviewed. The results showed that migrants that have left Portugal in the 40 decade in search of economic opportunities, and that were forced to return to Portugal, or people of the 2<sup>nd</sup> generation (most of them born in Angola) had a history of trauma; the other inquired people who had emigrate to Angola after the independence to work there, but without diaspora stories, revealed feelings such as: surprise (for the patrimony that portuguese have left in Angola), respect for those portuguese, cordiality for the natives, cooperation, but also a desire of opportunities.

This study utilized a qualitative, exploratory approach to better understand the data produced using methods of narrative inquiry.

## 3. Analysis

The return of the colons to the metropolis creates a great anxiety in the returned people such as in the host population, both are experimenting the political revolution (25<sup>th</sup> April, 1974) and people couldn't understand this context. Everyone was afraid against the future.

This context was specifically dominated by adaptation and integration variables such as: self-esteem, self-realization, self-confidence.

Meeting the new event creates some anxiety that results in the loss of signs and reference points, such as social rules to guide their actions and to understand the behavior of the others. Social shapes the individual.

One must realize that factors such as an enormous number of returned (500.000) could affect employment and could affect the social relations.

Pacheco (1996) argues that the representations of the host society are marked as a "filter", and defined strategies, ranging from accommodation, in order to save the "bonds of the past", assuming a mode of relationship that allows them to relate to others without profound identity transformations.

The host community was in revolution process, the returned population was suffering the consequences of process revolution.

Returned people couldn't understand the non-acceptance and the resistance of this community that was the same, portuguese population, but seemed to be another.

The feelings of cultural identity are configured in a dynamic process throughout life, so, the confrontation with the other, especially when it comes to live in the same place (metropolis), implies a questioning of the self and the other, a

process in which conflicts necessarily occur, either personal, either interpersonal or social. Yet, it is within these challenging situations that occur personal or social development. The returned people follow the same process.

Cardoso (1996, *in* Brito, 2001), argues that integration is a social process in which minorities freely confirm its identity.

Pinheiro and Ferreira (2002) define that in literature, social resources, in general, and perceived social support, in a specific manner, have been hailed as the enablers of personal and social adaptation of individuals in a variety of experiences.

Thus, according to several authors (Chickering & Schlossberg, 1995; Cutrona, 1982, 1986; Cutrona, Cole, Colangelo, Assouline & Russell, 1994; Russell & Cutrona, 1984, 1987; Schlosseberg, Chickering & Lynd, *in ibid*), the existence satisfactory interpersonal relationships and perceived social support may be obtained from them the enablers of adaptation.

Both the returned people and the host population are involved in contradictory and paradoxical feelings. They were both afraid; because of the present; because of the future.

The returned people seemed to discover that they are portuguese people but they had lost the portuguese home.

It was evident the feeling of nostalgia towards the home country that they have lost.

They belong and they don't belong to Angola. They belong and they don't belong to Portugal. These questions were intrapersonal and not formal questions, because everyone could obtain government benefits for the social integration.

1. In this study we also seek to understand what portuguese fiction stories related about the portuguese diaspora. We analyzed three narratives and we verified that the contextualization, the characters, allows us to verify the same reasons of discomfort on the integration in the revolutionary period and also the same feeling of nostalgia.

#### 4. Discussion and main results

The investigation which is taking place led to acquisition of information related to decolonization people, who are located in Portugal. The gathering of these data allowed us to understand the profiling of these people regarding their lives changes. In this communication we present the first results of this study.

In the obtained sample we verified that the returned people are from Angola.

As shown in the sample the number of people who is implicated in this study, were pre Estado Novo migrants (90%), while the rest have an inferior number (post Estado Novo).

The profile of the returned people in this study according to the gender factor, allowed us to conclude that there is an almost equitable distribution among men (51%) and women (49%).

This way, we ascertained that those people affirmed that when they come into Portugal, they felt some resistance from the host population (100%). They also were afraid for their integration (100%) and they felt insecurity (100%).

The difficulties on integration represent the totality of the people. Also, the way of life is considered by the returned people as suffering degradation (100%).

The analysis regarding the time origin of the migration allowed us to conclude that the feeling of nostalgia has the majority in the pre Estado Novo migrants (100%). Nevertheless the post Estado Novo migrants considered that the new country was good to work, but not so good to live. The feeling of nostalgia isn't present on these people.

The observation of data obtained also allowed us to label the returned people considering the age factor. This way, we ascertained that 60% of the respondents are more than 65 years old, in the sample of pre Estado Novo and no more than 40 post Estado Novo.

After April Revolution (1974), the civil war, or the social and political instability, portuguese population based on Angola, left this country, to enter in Portugal. These migration people were denominated "Retornados" (returned people) but it was a pejorative designation that everyone felt like a way of discrimination.

In this period, many portuguese people preferred not to enter in Portugal and they went to other countries, such as South Africa, Brazil, or Canada.

We also know about integration and feelings of those people, and the consequences on their lives and how the second generation envisages this phenomenon.

Portugal conceived some programs to integrate returned people, but in the revolutionary period and decolonization period, the quantity and diversity of experiences and feelings were so strong that both, continental population and returned population couldn't understand what was indeed changing in their lives.

By the analysis of the testimony already done by "retornados" from Angola, it's possible to categorize some elements, such as: feelings, losses and integration.

The feelings more explained by returned people (1st or 2nd generation), were: "saudade", "nostalgia", "revolt", "sadness" "resignation"

The main losses were: homeland, conviviality, properties, identity.

About integration, we have distinguished a changing of level: at the first time (the moment of returning) they mentioned: discrimination, insecurity, but over time they referred partial integration and total integration.

They referred about relevant role of the government and friends or family to consummate the integration, but they also referred a generalized hostility of the portuguese population.

Literature is one of the most pertinent ways of real representation. A national literature allows us to understand the present, to recognize the past and also to predict the future of a community.

The colonial war contributed to portuguese literature. In this period, war was the theme of several authors, but, after 1974, the *leit motiv* of those publications was a guilt feeling, and we can find the tendency to describe the anti-hero. Manuel Alegre in *Jornada de África* represents this situation. But it's also frequent a different vision, with a sarcastic social vision, such as the case of António Lobo Antunes with *Os Cus de Judas* or *O Fado Alexandrino*. The decolonization and the exodus of a population, who felt disoriented and victimized, begun to be exploited also through literature. This population had left Portugal on the 40 decade, and was, in its majority, a poor class victim of the austerity policies of Estado Novo that had suffered the contingences of the Great War. They had no way to sustain them in Portugal and so, they had to emigrate to survive.

### Which has been the sin of this migrant population?

Only one: instead of leaving Portugal to France or United States, or Canada, they left Portugal to go to Africa. This delocalization and the Salazar's policies contributed to the disaster of a population who didn't understood that was used by the portuguese government.

The narrative analyses (real testimonies and fiction) allow us to achieve the following results:

1. In Portugal: economic difficulties, difficulties of life (no food, no job) and the example of friends who have already left Portugal
2. In Angola: the same privations in the beginning, inhospitable climate, no home, have a lot of jobs to survive, a strong determination. Good conviviality with host population, and a great hope.
3. After decolonization: nostalgia, losses, no homeland, have a lot of jobs to survive, and no hope.
4. The fiction stories analyzed allows us to confirm the results obtained through the life stories. The narratives we had studied proven those ideas, those feelings and how *luso-tropicalism* concept was so integrated in their lives ant in their conceptualization project of lives.

### References

- Bandura, A. (1986). *Social foundations of thought and action: a social cognitive theory*. New Jersey: Prentice-Hall
- Bandura, A. (1997) *Self-efficacy: the exercise of control*. New York: W. H. Freeman and Company
- Botero, J., Ramos, J. & Rosas, A. (2000) *Mentes Reales: La ciencia cognitiva y la naturalización de la mente*. Santafé de Bogotá: Siglo de Hombre Editores
- Bruner, J.(1990) *Actos de Significado: Para uma Psicologia Cultural*.Lisboa: Ed. 70Costa, P. M. (2004) *Políticas de Imigração e as Novas Dinâmicas da Cidadania em Portugal*, Instituto Piaget, Lisboa
- Finuras, P. (2010) *Humanus – Pessoas iguais, culturas diferentes*, Ed. Silabo, Lisboa.
- Freyre, Gilberto. (1940), *O mundo que o português criou*. Rio de Janeiro, Livraria José Olympio Editora.
- Freyre, Gilberto. (1995), *Casa grande & senzala*. Rio de Janeiro, Record.
- Fukuyama, F. (2004) *A construção de estados*, Gradiva, Lisboa.
- Gonçalves, F. & Henriques, M. (2000). *Terapia Narrativa da Ansiedade*. Coimbra: Quarteto
- Lieblich, A., Tuval-Mashiach, R. & Zilber, T. (1998) *Narrative Research: Reading, Analysis and Interpretation*. London: Sage Publications
- Milesi, Rosita (2000)(org) *Refugiados: realidade e perspectivas*. São Paulo: CSEM &IMDH
- Moreira, Adriano (Coord.). *Comunidade dos Países de Língua Portuguesa – Cooperação*. Lisboa: Edições Almedina, 2001.
- Pereira, A. (2004). *Educação Multicultural: teorias e Práticas*. Cadernos do CRIAP, 42 Porto: Edições ASA
- Riessman, C. (1993). *Narrative Analysis*. London: Sage Publications
- Samutelela, H. (2001). *Desenvolvimento e adaptação académica em estudantes universitários dos "PALOP"*. Universidade de Évora
- Seidman, I. (1991) *Interviewing as qualitative research: a guide for researchers in education and the social sciences*. New York: Teachers College Press
- Silverman, D. (2004) *Interpreting Qualitative Data: Methods for Analysing Talk, Text and Interaction*. 2nd ed. London: Sage Publications
- Skowron, E. (2004). Differentiation of Self, Personal Adujstment, Problem Solving, and Ethnic Group Belonging Among Persons of Color. *Journal of Counseling & Development*,Vol. 82, 447-456
- Stevenson, W., Zinzow, H. & Sriharan, S. (2003). Using Event Structure Analysis to

- Understand Planned Social Change. *International Journal of Qualitative Methods* 2 (2) [disponível em [www.ualberta.ca](http://www.ualberta.ca) consultado em 22.06.11]
- Urry, John (2007) *Mobilities*. London: Polity
- Venâncio, J. (2000). *O Facto Africano: Elementos para uma Sociologia de África*. Lisboa: Vega Editora
- Yeh, C. & Hwang, M. (2000) Interdependence in Ethnic Identity and Self: Implications for Theory and Practice. *Journal of Counseling & Development*, Vol.78



## The Romans as Viewed by Arabic Authors in the 9th and 10th Centuries A.D.

**Dr Elias Giannakis**

Assistant Professor in the History and Culture of the Arabs  
Department of History and Archaeology  
University of Ioannina, Greece  
Email: eliagiannakis@hotmail.com

---

**Abstract** The question whether Muslims of non-Arab origin were culturally superior to the Arab Muslims was hotly debated within the society of the Baghdad Caliphate from the middle of the eighth century A.D. onwards. Various groups that aimed at remoulding the political and social institutions and the direction of the Islamic culture brought in the subject of the characteristics of the pre-Islamic and the contemporary civilized nations, their virtues and vices as well as their cultural history. It is in this context that Arabic authors present their views about the Romans, their origin, their characteristics, their political and cultural history and their connection with other neighbouring nations. Such views are reflected in the works of three distinguished Muslims authors who lived and wrote in Arabic during the period of the 9th and early 10th century A.D. This study aims at presenting the views of the chosen three Arabic authors and the arguments they advanced as regards the history and culture of Romans.

**Keywords:** Romans, Arabic literature, *al-Jāḥiẓ*, *al-Yaʿqūbī*, *al-Masʿūdī*.

---

### 1. Introduction

Of the peoples that the Arabic authors of the 9<sup>th</sup> and 10<sup>th</sup> century showed special interest were the Romans (*rūm*). The Arabic word *rūm* which occurs in various texts of the Arabic literature appears to refer not only to the ancient Romans (Latins) but also to the Byzantines as well as to the Christians, especially the Melkites, both inside and outside the lands of the caliphate. In the Arabic writings of the early Islamic period, the word *rūm* most often refers to the contemporary Greek speaking Byzantines who were Christians. This meaning of the word *rūm* is justifiable, because the overwhelming majority of the inhabitants, and generally all those in power in the Eastern Roman Empire contemporary with the Muslim Caliphate, were Greek speaking Christians who called themselves Romans (*rūm*). However, today we use the term "Byzantine" in order to distinguish the late Eastern Roman Empire from the ancient Western Roman Empire, especially after the transfer of the capital from Rome to Constantinople in A.D. 330. In this paper I shall look into Arabic accounts on the ancient Latin speaking Romans.

### 2. Al-Jāḥiẓ (A.D. 776-868/9)

As far as one can judge on the basis of the medieval Arabic literature, the early Arabic writers did not know much about the ancient Latin speaking Romans nor did they bother to know about their history or culture. It was in the early ninth century that Arabic authors dealt with the question of the ancient civilized nations and their relation with Islam. Al-Jāḥiẓ (A.D. 776-868/9), the most famous and great prose-writer of the times of the early Abbasids, was one of the earliest Arabic authors who dealt with this question and wrote in favour of the Arabs. He does not distinguish between the ancient Latin speaking Romans and the Greek speaking Byzantines. In a passage where he discusses the civilized nations, al-Jāḥiẓ classifies the *rūm* (=Romans and Byzantines) among the four civilized nations of the world. His very words are as follows:

"... the nations (*umam*) which have ethical practices (*akhlāq*), culture and literary traditions (*ādāb*), wisdom (*ḥikam*, pl. of *ḥukm*) and science (*ʿilm*) are four, namely the Arabs, the Indians, the Persians and the *rūm*." (Al-Jāḥiẓ, 1998: I.384).

In this quotation al-Jāḥiẓ names the four civilized nations, namely the Arabs, the Indians, the Persians and the Romans. He also states four characteristics essential for a nation to be classified as civilized, namely ethical practices (*akhlāq*), literary traditions (*ādāb*), wisdom (*ḥukm*) and science (*ʿilm*). Therefore, it is the excellences these nations possess that

make them distinct and pre-eminent over others. Regarding the literary traditions, it appears that al-Jāḥiẓ has in mind the literary traditions of these nations which had been translated into Arabic from the 9<sup>th</sup> century onwards. He himself knew and read various works translated into Arabic from the Syriac, Persian, Indian and Greek languages (Endress, 1987: 402ff; Gutas, 1998: 20ff). These translations were introduced into the literary circles of the caliphate and were slowly integrated in the new Arabic culture which was then under formation. Clearly, al-Jāḥiẓ believed that the wisdom of all nations was transmitted into the Arabic literary culture in a slow process from nation to nation and from generation to generation, when he writes:

“The books of the Indians, the wisdom of Greece and the literature of the Persians have all been translated. Some have gained in charm while others lost nothing ... These books were transmitted from nation to nation, from era to era and from language to language, until they finally reached us and we were the last to inherit and examine them ...” (Al-Jāḥiẓ, 1965-69: I.38, translation by Khalidi, 1994: 108 ).

In this quotation al-Jāḥiẓ plainly states that the new Arabic culture which was then under formation had embraced all that the previous nations had created in all fields of human activity. It cannot be concealed that by this claim al-Jāḥiẓ aimed at justifying the pre-eminence of the Arabs and their culture. Thus al-Jāḥiẓ claims superiority for the power of the Arab aristocracy and seeks to glorify their achievements over all other nations.

One should bear in mind that, since Greek works possessed by the Christians of the Middle East, had been among the books translated into Arabic, it is justifiable that the word *rūm* is taken to refer to the contemporary Greek speaking Christian Romans, i.e. the Byzantines. Besides, the Melkite Christians, who lived in the Muslim lands, were called *rūm*. However, al-Jāḥiẓ does not distinguish between the ancient Latin speaking Romans and his contemporary Greek speaking Romans, i.e. the Byzantines. Having become acquainted with Arabic translations of Greek philosophical and scientific works, al-Jāḥiẓ came to distinguish between the Greeks (*yūnāniyyūn*) and the Romans (*rūm*), i.e. the Byzantines. Thus he writes:

“Had the common people but known that the Christians (*naṣārā*) and the Romans or Byzantines (*rūm*) have neither wisdom nor clarity [of mind] nor depth of thought but are simply clever with their hands in wood-turning, carpentry, plastic arts, and weaving of silk brocade, they would have removed them from the ranks of the literati and dropped them from the roster of philosophers and sages because works like the *Organon*, *On Coming to Be and Passing Away*, and *Meteorology* were written by Aristotle, and he is neither Byzantine nor Christian; the *Almagest* was written by Ptolemy, and he is neither Byzantine nor Christian; the *Elements* was written by Euclid, and he is neither Byzantine nor Christian; medical books were written by Galen, who was neither Byzantine nor Christian; and similarly with the books by Democritus, Hippocrates, Plato, and on and on. All these are individuals of one nation; they have perished but the traces of their minds live on: they are the Greeks (*yūnāniyyūn*). Their religion was different from the religion of the Byzantines, and their culture was different from the culture of the Byzantines. They were scientists, while these people [the Byzantines] are artisans ...” (Al-Jāḥiẓ, 1926: 16-17, translation by Gutas, 1998: 87 with slight modifications.)

This quotation is taken from a treatise al-Jāḥiẓ wrote probably at the time when the caliph al-Mutawakkil (r. A.D. 847-861) issued an edict against the Christians and other heretics in an attempt to assert the political power of the caliph, control the influences various sects exerted in the Muslim society and suppress rebellious factions. It appears that, in this passage, al-Jāḥiẓ aims at belittling the achievements of the Romans or Byzantines and refuting the claims of superiority of various Christian circles within the caliphate. It seems that there was confusion among the people whether the Greek authors mentioned in this passage were Romans (*rūm*) or Greeks (*yūnāniyyūn*). While al-Jāḥiẓ knows that they were Greeks, yet he claims that the ancient Greeks were a nation perished by his time. Thus he denies that there was any connection between the ancient Greeks and the Romans. It is very likely that the question of the relation of the Romans or Byzantines to the ancient Greeks was hotly debated in the literary circles of the caliphate. In any case, al-Jāḥiẓ did see a difference between the ancient Greeks (*yūnāniyyūn*) and the contemporary Greek speaking Byzantines (*rūm*), but he did not distinguish between the ancient Latin speaking Romans and the Greek speaking Romans, i.e. the Byzantines, in any way. Although al-Jāḥiẓ did not write about the ancient Latin speaking Romans, later Arabic writers showed interest in the name, the origins and history of the *rūm*. So they came to distinguish between the ancient Romans, who had a different language and religion, and the later Romans, i.e. the Byzantines, who were Christians. The earliest Muslim

Arabic writers to give short accounts of the history of the ancient Romans and the Byzantines were the historian and geographer al-Ya'qūbī (d. c. A.D. 905) and the geographer, historian and man of letters al-Mas'ūdī (A.D. 893-956).

### 3. Al-Ya'qūbī (d. c. A.D. 905)

The history of the historian and geographer al-Ya'qūbī is the first surviving comprehensive universal history in Arabic. In his account, he distinguishes between the Greeks, the Romans and the Byzantines, although he uses the same name *rūm* both for the ancient Romans and the Byzantines. His information though limited is to a large extent accurate. It appears that al-Ya'qūbī must have had access to good sources. As he himself names some of his sources, it is evident that among his sources were Greek works translated into Arabic as well as Syriac chronicles used in other contexts either from some Arabic translation or through someone who translated for him from Syriac, for he seems not to know Syriac himself.

The pre-islamic part of al-Ya'qūbī's universal history is a long one and covers one third of the whole surviving work. It is here that he gives an account of the ancient nations. The account on the Greeks and the Romans is structured as follows: Having given a long account of Greek works on medicine, mathematics, astronomy and philosophy that were translated into Arabic in a section of his history entitled "The Greeks" (*al-yūnāniyyūn*), al-Ya'qūbī starts another section entitled "The Kings of the Greeks and the Romans (*mulūk al-yūnāniyyīn wa-l-rūm*)" (Al-Ya'qūbī, 1883: I.106-161, on the Greek sciences and I.161-164 on the Greek kings). Then, he proceeds and adds a sub-section entitled "The Kings of the Romans (*mulūk al-rūm*)" and another one entitled "The Christian Kings of the Romans (*mulūk al-rūm al-mutanaṣṣira*)" (Al-Ya'qūbī, 1883: I.164-177). The list of the Kings is drawn upon Ptolemy's *Canon of Kings*, as he himself says (Al-Ya'qūbī, 1883: I.161). Therefore, one may infer that al-Ya'qūbī probably had either direct access to some Arabic translation of the Ptolemy's list or to that commented by Theon of Alexandria, or probably found this list incorporated in some Arabic Christian chronicle. Al-Ya'qūbī's information complies more or less with Ptolemy's list of the Roman Kings (cf. Wachsmuth, 1895: 304-306).

Now, al-Ya'qūbī starts the sub-section on the ancient Romans with a genealogy which aims firstly at identifying the ancestor after whom the Romans were called and secondly at placing their ancestor in relation with the biblical account which goes back to Abraham (Al-Ya'qūbī, 1883: I.164). He states that their ancestor was called '*rūm*'. Then he proceeds by saying that the Romans defeated the Greeks and ruled over them. The Romans spoke the language of their people which was called *rūmī* (for the term see Bouyges, 1947-48: 119-129). He adds that the Romans studied the Greek language and all the best of the wisdom of the Greeks. After this short introductory remarks, al-Ya'qūbī gives a list, first of the kings of the ancient Romans and then a list of the Christian Romans, i.e. the Byzantines. Thus he distinguishes between two series of kings: those of the ancient Romans who were pagans, and those of the later Romans, i.e. the Byzantines, who were Christians. With respect to the list of the pagan Roman Kings, it should be said that al-Ya'qūbī gives the name of each king, the years of his reign and sometimes adds few short remarks as to a distinguished person that lived in that time or an event which was thought of being important. The list of the ancient Roman Kings starts with Gaius [Julius Caesar] and ends with Constantine the Great (Al-Ya'qūbī, 1883: I.164-165). The list of the succession of the Roman kings is followed by a short account of the metaphysical beliefs and practices of the kings and of various groups of people during the early Roman period. The source of this information is not stated. Most probably it derives from some doxography written either during the Hellenistic or Roman period and was available in Arabic translation at the time al-Ya'qūbī wrote. Of course, one cannot exclude the possibility that al-Ya'qūbī found this information quoted in some other Christian chronicle or Arabic source. The account of the religious, philosophical and scientific beliefs of the groups mentioned is longer than the account of the list of the Roman Kings. This reflects his interest in the general cultural history of other peoples. It may be summarized as follows: Al-Ya'qūbī says that the kings of the Greeks and the Romans held different world views. Similar was the case with the various groups of people. Some maintained the religion of Sabians (*ṣābī'ūn*) and they were used to be called *ḥunafā*" (cf. Watt, 1971:165a-166b). Among the other views that are mentioned in this section are the cosmological and metaphysical beliefs of the followers of Zeno, i.e. the Stoics; then those of the so-called *dahriyya*, which are thought to refer to materialists or philosophers of nature who do not accept metaphysical principles; then the cosmological doctrines of those who follow Empedocles and Anaxagoras; and last the cosmological, and metaphysical beliefs of the followers of Aristotle (Al-Ya'qūbī, 1883: I.166-171). Generally speaking, this section presents some philosophical and scientific views held by the ancient Greek thinkers and their followers during the early Roman period.

On the whole, al-Ya'qūbī's account about the Romans is based on Ptolemy's *Canon of Kings* and some Hellenistic doxography, covering thus aspects of their political and cultural history with a genealogy which places them in relation to the ancient Greeks and especially the biblical genealogy which goes back to Abraham.

#### 4. Al-Mas'ūdī (A.D. 893-956)

A more detailed account about the ancient Romans we find in the two surviving works of al-Mas'ūdī. The material which al-Mas'ūdī gives on the Greeks and Romans differs in its nature and its method of presentation between the two works. He has different sections on the Greek Kings, the ancient Roman Kings who were pagans, and the later Roman Kings (i.e. the Byzantines) who were Christians, in both of his two surviving works. Some of the differences between the two works may be explained by the fact that the book entitled *Kitāb al-tanbīh wa-l-ishrāf* was written towards the end of his life. Therefore, it is justifiable that some of his earlier views have been corrected by himself, since he had come across new and accurate information. As regards his sources, these seem to range from chronicles of ancient history, astronomical tables, to philosophical and scientific works, to literary traditions and popular stories. Apart from historical works of earlier Muslim authorities, he derives information from Christian chronicles and from non-historical works translated from the Greek, of which he cites Ptolemy's *Geography*, and his *Astronomical Tables*, as handed down by Theon of Alexandria; and medical and philosophical works by Galen and Aristotle. This kind of material not only supplied him with details on aspects of the intellectual history of the Graeco-Roman world, but also assisted in his attempt to establish a chronological point, to identify a personage, or verily other historical details. For example, by using chronological evidence from the works of Claudius Ptolemy, al-Mas'ūdī is able to prove that the author of *Almagest* was not a Ptolemite monarch after all, but a scholar who flourished in the reign of the Roman emperor Antoninus Pius (A.D.138-161) (Al-Mas'ūdī, 1893: 114-115 and 129-130).

In dealing with the ancient Romans, al-Mas'ūdī attempts to present a general picture of their history. First, he records various views on the name and identity of the Romans. Some scholars of his time claimed that the Romans were named after the name of the city of Rome, while others after the name of their ancestor. Then, he presents some of the different views concerning the origins of the Romans, which link them with biblical genealogy and are thought to be descendants of Abraham (Al-Mas'ūdī, 1962-79: § 715 and Al-Mas'ūdī, 1893: 123). He also refers to the relation of the Romans (*rūm*) to the Greeks (*yūnāniyyūn*). He seems to have the opinion that the belief that the Romans and the Greeks had a common ancestor is wrong (Al-Mas'ūdī, 1962-79: § 664 and Al-Mas'ūdī, 1893: 115). He distinguishes between the Greeks and the Romans and states that this confusion is due to the fact that the Romans imposed their domination over the Greek people and incorporated them in their empire in such a way that the name of the Greeks was effaced without being mentioned any more, while all that was Greek was attributed to the Romans themselves. In turn, this fact led to the question whether 'Pythagoras, Thales, Empedocles, the Stoics, Homer, Archelaus, Socrates, Plato, Aristotle, Theophrastus, Themistius, Hippocrates, Galen and the other philosophers and medical doctors' were Romans (*rūm*) or Greeks (*yūnāniyyūn*). Al-Mas'ūdī then says that he has proved that all the names of the philosophers and scientists just mentioned were Greeks on the basis of their writings (Al-Mas'ūdī, 1893: 115). As said earlier, the question of the historical connection between the *yūnāniyyūn* and the *rūm* was a problem which seems to have interested Arabic literary circles of the 9<sup>th</sup> and 10<sup>th</sup> century A.D. A modern scholar says that 'al-Mas'ūdī, who seems to conform to current literary traditions as far as the end of the Greek political power was concerned, does not, however, support the equally voiced notion that the Greeks had perished as a people too' (Shboul, 1979: 229 and 261). As far as this issue is concerned we may point out that, although the Greeks as a people did not perish, al-Mas'ūdī believed not only that the Greeks had lost their political power and their independence but he also held the view that the Greek philosophical and scientific edifice was destroyed and the sciences neglected, when Christianity carried the day. For he writes:

"During the time of the ancient Greeks [*zaman al-yūnāniyyīn*], and for a little while during the Roman kingdom [*mamlakat al-rūm*], the philosophical sciences kept on growing and developing, and scholars and philosophers were respected and honored. ... The sciences continued to be in great demand and intensely cultivated until the religion of Christianity appeared among the Romans [*fī-l-rūm*]; they then effaced the signs of philosophy, eliminated its traces, destroyed its paths, and they changed and corrupted what the ancient Greeks had set forth in clear exposition." (Al-Mas'ūdī, 1962-79: § 741, translation by Gutas, 1998: 89 slightly modified.)

Now, al-Mas'ūdī's account on the early Roman emperors before Constantine the Great shows similar characteristics to that of al-Ya'qūbī. However, there are divergences, even if the list of the ancient Roman Kings seems based on the same types of sources. One of those sources was the *Astronomical Tables* (*zīj*) of Theon of Alexandria, i.e. Ptolemy's *Canon of Kings* as handed down by the mathematician and astronomer Theon of Alexandria (fl. c. A.D. 364) (Al-Mas'ūdī, 1893: 136). Apart from the obvious possibility of direct borrowing from an Arabic translation of Theon's book or al-Ya'qūbī's history, al-Mas'ūdī was also based on some Christian chronicles, as he himself says (cf. Al-Mas'ūdī, 1893: 146-155). His list of the ancient Roman Kings begins with Gaius Julius Caesar and ends with Constantine the Great. Although he is not aware of constitutional changes in Rome, yet al-Mas'ūdī points out that despite the lack of information in chronicles and tables of rulers the Romans had earlier kings (Al-Mas'ūdī, 1893: 123). He also knew that Rome was built long before Caesar and gives the figure 400 years, which does not represent a correct reckoning (Al-Mas'ūdī, 1962-79: §717). As far as we know, he is also the earliest Muslim author to mention the legend of Romulus and Remus, the "twin-sons of the she-wolf", with whom tradition has connected the founding of Rome (Al-Mas'ūdī, 1893: 123). His list of the ancient Roman kings contains not only the names of the kings and the years of their reign but also short pieces of information on various persons and events. Some of this information is of philosophical and scientific interest, as al-Mas'ūdī takes account of the scientific and philosophical achievements in this period. Thus he mentions the geographer Marinus, the neo-Pythagorean Secundus, the mathematician and great astronomer Claudius Ptolemy and the medical doctor and philosopher Galen, commentator of many of Hippocrates' writings (Al-Mas'ūdī, 1893: 127, 128, 129-130 and 129-131 respectively). However, most of this additional information is mostly concerned with religious and other ecclesiastical events. As his account is determined by Christian sources, al-Mas'ūdī gives more details on early Christian history and the fates of Christians under each of the early Roman emperors (Al-Mas'ūdī, 1893:154-155).

On the whole, al-Mas'ūdī gives a more detailed account of the ancient Romans, their Emperors and their dates, while he adds some information concerning religious and cultural events. He also not only underlines the continuity of the Greek heritage in the Roman period, but also points out to the scientific and philosophical decline at the time when the Romans and their kings adopted Christianity as their religion. It should be stressed that his acquaintance with Greek science and philosophy, and his contacts with Christian and the Sabian scholars of Harran seem to have enabled him to form a more historical view of the ancient Romans and their culture.

## 5. The Historical Context

The reason why Muslims authors of the 9<sup>th</sup> and 10<sup>th</sup> century A.D. dealt with the history and culture not only of the Romans but also of other ancient and contemporary nations is related to the social, political and cultural circumstances of their age. In the early stages of the integration of various people in the new Muslim society, the Arabs formed exclusively not only the military force but also the new social and political élite. The non-Arabs had to attach to an Arab family as clients (*mawālī*, sing. *mawlā*) even in the case they had embraced the new religion (Crone, 1990: 874a ff). This fact led to grievances and finally to open conflict. The internal struggle for equality and political supremacy was unceasing among the different peoples and the various groups that constituted the new Muslim society. During the early period the arrogance and monopoly of power by the Arab aristocratic élite created resentment in the subject peoples and especially the *mawālī*, i.e. the non-Arab Muslims. Nevertheless, the Arabs managed to keep the monopoly of power for over a century. They claimed that their superiority was based on the assumption that the *quranic* revelation, which was the only source of all true knowledge, was given to an Arab prophet (Rosenthal, 1947: 69).

Other peoples and especially the non-Arab Muslims put forth and insisted upon the superior character of other older civilizations. Such is the case of the Persian Ibn al-Muqaffa', who in the introduction of his work entitled *Adab al-kabīr* claims that true civilization was found only in pre-Islamic times, especially among the Persians. Ibn al-Muqaffa' was of noble Persian origin, started a career as a chancery secretary (*kātib*) and won for himself unprecedented renown as a master of Arabic literary prose (Gabrieli, 1971: 883a ff). The views and attitudes of Ibn al-Muqaffa' and of all those writers that followed this line of thought are part of the ideas adopted by the so-called *shu'ūbiyya* movement (Enderwitz, 1997: 513b-516a). The origins of this movement are thought of as going back to the discontents that arose in the early Arab conquests in the second quarter of the seventh century, but it became a fashion in thought during the time of the early Abbasid caliphate, especially during the period of the ninth century. The *shu'ūbiyya* movement is regarded as an assertive movement in Arabic cultural history and literature which represented a powerful backlash amongst the subject peoples against the Arabs. The different races, mostly Persians and Aramaeans, in the Muslim society denied any privileged position of the Arabs and to some extent succeeded to 'hold their own and to distinguish at least between Arabism and Islam' (quoted in Norris, 1990: 31. Cf. Enderwitz, 1997: 514a-515b). Within this framework, various factions

that arose among the religious minded people felt that events of the distant past needed to be known, since it was thought that they had a bearing on the origins and development of the new religion, the times of the Prophet Muhammad, the conquests and the creation and consolidation of the Muslim Empire (Lichtenstadter, 1974: 52). Similarly, other groups of non-Arab Muslims, members of the urban middle class, and especially members of the secretary class (*kuttāb*) in the administration of the caliphate, sought to justify their claims for power and pre-eminence in the records of the past. Thus the internal struggle for political power and social advancement added a practical incentive to intellectual curiosity for any kind of knowledge. For, 'if it could be proved that one particular people or civilization was intellectually superior to the others, the claim of that people or civilization to political supremacy also seemed to have been established' (Rosenthal, 1947: 69).

Again, there was interest in the question of the indebtedness of Muslim civilization to previous and other civilizations especially to the civilization of the Greeks, the Persians, the Indians and other peoples. The significance of previous and other civilizations for Islam acquired a sense of urgency in the 9<sup>th</sup> century. The transmission of knowledge from one nation to another had a special significance for the Muslim community. The knowledge which originated with some other nations was the foundation upon which the Muslims had to build. This explains the emphasis laid on science and wisdom in the accounts of the authors examined.

Also the relation of the pre-Islamic era to the Islamic one was an old question. The message of the Prophet Muhammad and the hints in the Qur'ān about the early history of mankind had to be worked up into a coherent story. Muhammad's message, then, gave greater depth to the historical consciousness of the Arabs by extending their past back to Abraham and through it to the time of the Creation of the world. Thus, later Arabic historians had a basis on which could build and expand in order to explain the message of their prophet and bring out the historical significance of the past peoples for Islam.

Again, the Muslims were faced with 'the spectacle of many great nations, ancient as well as contemporaneous, who rose to heights of glory without having an Islamic heritage' (Khalidi, 1975: 82). So the Muslim authors of the 9<sup>th</sup> and 10<sup>th</sup> centuries had to explain this fact both for answering the claims of various groups within their own society as well as in justifying the ideology of Islam and the ruling class.

From the above analysis, it is clear that there were social, political, religious and cultural factors which motivated the Arabic authors of the 9<sup>th</sup> and 10<sup>th</sup> century to deal with the history and culture of other ancient or contemporary nations and especially the Romans. This knowledge served not only to answer the questions raised by members of various factions within the Muslim society but also to reveal the principles that govern the progress and decline of nations.

## 6. Concluding remarks

The information we reviewed above shows the growing interest of the Arabic writers of the ninth and tenth century in the political history, the literary traditions and the philosophical and scientific culture of the Romans (*rūm*). However, the picture one forms is not a satisfactory one. It appears that the knowledge about the "other" which the three Arabic authors produced aimed at belittling the achievements of other peoples and at glorifying their own. Although it may be thought of as being a mirror one uses to see his own self, the knowledge they produced aimed at enhancing the Muslim identity.

Again, this knowledge served the various factions, especially the non-Arabs, Persians or Aramaeans, Muslims or non-Muslims, in their struggle for power and pre-eminence within the Muslim society. For such groups of people sought to justify their claims and drew arguments to defend their position in the social and political hierarchy from their inherited culture, their expertise and skills. Thus it may be said that the works written by the three Arabic authors reflect the questions discussed in the literary and religious circles of the Muslim society in the 9<sup>th</sup> and 10<sup>th</sup> century. The answers they provided show the direction towards which Islam was to advance. For the appearance of Islam set in motion the creation of a new culture in the Arabic language. This orientation of the new Muslim culture was to distinguish between Islam and Arabism, as seen in the later developments.

Furthermore, the Arabic authors of this period seem to have endeavored so as to have the political, social, cultural, religious, linguistic, geographical and historical boundaries clearly drawn. Thus, it may well be said that such knowledge aimed at creating a mental map in which the division of the world into the realm of Islam and the realm of war had to be justified. This division, though it does not appear in the Qur'ān, was to prevail in medieval times from the ninth century onwards.

Finally, it also should be said that the description of the Romans our three authors presented aimed at shaping the popular views, offering help to the official propaganda in the manipulation of the masses and thus serving the ruling élite.

## References

### Primary Sources

- Al-Jāhiz, 'A. (1926). Al-radd 'alā 'l-naṣārā. In J.Finkel (ed.), *Three Essays of Abū 'Othmān 'Amr ibn Baḥr al-Jāhiz* (pp. 10-38). Cairo: al-Maṭba'a al-salafiyya.
- Al-Jāhiz, 'A. (1965-69). *Kitāb al-ḥayawān*, 7 vols. Edited by 'A. S. M. Hārūn, Third Edition. Beirut: Dār il-ḥyā' al-turāth al-'Arabī.
- Al-Jāhiz, 'A. (1998). *Al-bayān wa-l-tabyīn*, 4 vols. Edited by 'A. S. M. Hārūn, Seventh Edition. Cairo: Maktabat al-Khanjī.
- Al-Mas'ūdī, A. (1893). *Kitāb al-tanbīh wa-l-ishrāf*. Edited by M.J.de Goeje, Bibliotheca Geographorum Arabicorum, vol. VIII. Leiden: E. J. Brill; (1896) tr. B. Carra de Vaux, *Le livre de l'avertissement et de la revision*. Paris: Société Asiatique.
- Al-Mas'ūdī, A. (1962-79). *Murūj al-dhahab wa-ma'ādin al-jawhar*. Édition et traduction française par C. Barbier de Meynard et Paret de Courteille revue et corrigée par Ch. Pellat: Texte arabe, 7 vols. Beirut: Université Libanaise. Traduction française: Mas'ūdī (1962-1997). *Les prairies d'or*, 5 vols. Paris: Société Asiatique.
- Al-Ya'qūbī, A. (1883). *Al-Ta'rīkh*. Edited by M. Th. Houtsma as *Ibn Wadhih qui dicitur al-Ja'qubi Historiae*. 2 vols. Leiden: E. J. Brill.

### Secondary Sources

- Bouyges, M. S. J. (1947-48). Excursus d'un éditeur de textes arabes. *Mélanges de l'Université Saint Joseph*, 27.6, 119-144.
- Crone, P. (1990). Mawla. In H. A. R. Gibb et al. (Eds.), *The Encyclopaedia of Islam*, New Edition (Vol. 6, pp. 874a-882b). Leiden: E. J. Brill.
- Enderwitz, S. (1997). Al-Shu'ūbiyya. In H. A. R. Gibb et al. (Eds.), *The Encyclopaedia of Islam*, New Edition (Vol. 9, pp. 513a-516a). Leiden: E. J. Brill.
- Endress, G. (1987). Die wissenschaftliche Literatur. In H. Gätje (ed.), *Grundriss der Arabischen Philologie*, Vol. 2: *Literaturwissenschaft*. Wiesbaden: L. Reichert.
- Gabrieli, F. (1971). Ibn al-Muḥaffa'. In H. A. R. Gibb et al. (Eds.), *The Encyclopaedia of Islam*, New Edition (Vol. 3, pp. 883a-885b). Leiden: E. J. Brill.
- Gutas, D. (1998). *Greek Thought, Arabic Culture: The Graeco-Arabic Translation Movement in Baghdad and early 'Abbāsid Society (2<sup>nd</sup>-4<sup>th</sup> / 8<sup>th</sup>-10<sup>th</sup> centuries)*. London and New York: Routledge.
- Khalidi, T. (1975). *Islamic Historiography: The Histories of Mas'ūdī*. New York: State University of New York Press.
- Khalidi, T. (1994). *Arabic Historical Thought in the Classical Period*. Cambridge: Cambridge University Press.
- Lichtenstadter, I. (1974). *Introduction to Classical Arabic Literature*. New York: Twayne Publishers.
- Norris, H. T. (1990). *Shu'ūbiyyah* in Arabic Literature. In J. Ashtiany et al. (Eds.), *'Abbasid Belles-Lettres*, (pp. 31-47). Cambridge: Cambridge University Press.
- Rosenthal, F. (1947). *The Technique and Approach of Muslim Scholarship*. *Analecta Orientalia* 24. Roma: Pontificium Institutum Biblicum.
- Shboul, A. M. H. (1979). *Al-Mas'ūdī and His World. A Muslim Humanist and His Interest in non-Muslims*. London: Ithaca Press.
- Watt, W.M. (1971). Ḥanīf. In H. A. R. Gibb et al. (Eds.), *The Encyclopaedia of Islam*, New Edition (Vol. 3, pp. 165a-166b). Leiden: E. J. Brill.
- Wachsmuth, C. (1895). *Einleitung in das Studium der alten Geschichte*. Leipzig: Verlag von S. Hirzel.

## Young People and Trade Unions: New Challenges for a Generational Change

Giovanni Castiglioni

PhD Student in Sociology and Methodology of social research  
Università Cattolica del Sacro Cuore, Milano  
E-mail: giovanni.castiglioni@unicatt.it

---

**Abstract:** *The relationship between young people and trade unions is fundamental for labour organisations because it is increasingly necessary to re-think their generational change. The article aims to deepen understanding of the new challenges concerning youth and trade unions by reflecting on the labour organisations' renewal and analysing how they could involve young generations. Trade unions need to establish networks among young people both inside and outside the labour organisations and, at the same time, deal with young workers in contexts external to the workplace, reaching out to youth generations through innovative experiences and new models of aggregative participation. Ultimately, the new tasks that will be important to the future of labour organisations include investing in new generations and also accompanying providing them assistance in particular moments of insecurity, such as the transition from school to work or during unemployment; and helping them to develop their job skills. The analysis of the essay focuses on how trade unions can apply strategies and policies to support initiatives and social proposals that could facilitate young workers' participation in trade unions.*

**Key words:** *young people, trade unions, generational change, organising.*

---

### 1. Introduction

In the face of the changes concerning the ethics and culture of work, safety, health and worker protection is necessary deepening what is today the role of the trade unions in the society and in particular how the labour organisations are closed to the young people.

If, in the past, unions have succeeded in moving beyond the limitations of individuals to organise collective bargaining power, today, the situation has changed (Bauman, 2001). The unions have difficulty in their relations with the growing complexity of the labour market; there also is less stability and a decrease of stable jobs. Youth generations enter the labour market gradually, often while still in school. Their career progression is not always linear; thus they often collect random experiences they cannot use to their advantage to ensure themselves a stable employment position.

Reflecting on this set of circumstances, the role of trade unions is increasingly crucial to provide opportunities and strategic interventions that can help younger generations develop their job skills; offer support to develop youth entrepreneurship and independent living, as well as by proposing active work policies.

### 2. Young people and trade unions: a mismatch?

Youth generations have less interests in and propensity to unionization; however, union membership itself has a lower component of identity than in the past. This is the effect not only of young people's anti-union attitude, but also the difficulty for unions in communicating with youth generations regarding union representation (Carrieri, 2006).

Further, young people have decreasing confidence in the social image of trade unions. On the one hand, there also is a reduction of total workforce and on the other hand, the "attractiveness component" of trade unions is decreasing for younger generations, particularly for precarious workers (De Luca, 2008).

The decline in trade union membership is particularly significant among young workers, and this is a worldwide trend. Thus, recruiting, organising and representing young people is the most difficult task currently faced by trade unions (Kahmann, 2002).

This negative trend is, in part, a consequence of structural factors. Principally, these stem from changes in the labour market, including the growth of labour flexibility, deregulation, and a shift from manufacturing to service-based work. Union memberships are stagnant or declining, and new workers have more difficulties joining unions (Fairbrother, Yates, 2003). It is more arduous for workers with atypical employment contracts to join unions; with such workers, unions typically emphasise the discontinuous or temporary nature of employment relationships.



«A key factor which determines union membership is the rate of labour market turnover. Young people are more likely to move jobs than older workers, so even where they join a union, there is high probability that they will leave because they move to a job where there is no union presence» (TUC, 2004, p. 40).

Concerning these difficulties, trade unions should aim to show more interest in attracting young workers and helping them resolve problems in everyday life. Labour organisations have to focus more on the needs of young people, particularly those who are in their last years of high school.

Young people have little knowledge of trade unions; these consequences also are connected to the fact that the unions are considered as an obsolete and older organisation by young generations (Ferrari, 2011). This distorted and incorrect perception can lead to negative images of the union by young people who do not understand the role of labour organisations.

Trade unions need to achieve goals related to the “youth question” by aggressively engaging younger generations, proposing new youth-focused ideas and projects, and also representing young people in the workplace, particularly those who have atypical contracts.

One of the consequences of the contemporary youth perception of trade unions is that they can be perceived as “disposable”. The result is a discontinuous relation between young people and trade unions also in terms of youth protection and rights, thus creating a “fragmented union membership” (Carrieri, 2006). There is a decrease in the meaning of values – defined as the sharing of behaviours, norms and significance – associated with unions. Contemporary social life tends to be located around the interaction of intense and fleeting relationships, often dictated by the emotional components of social actors (Magatti, 2009).

Trade union organisations – especially for a young person – can represent actually an opportunity to respond to a logic of individualism in the society; they also have a significant task in employment rights and duties of workers, employment contracts and labour relations to young employees representing «an attempt by individual workers to escape from insecurity» (Tannenbaum, 1951, p. 176).

### 3. Responses to unions' crisis

#### 3.1 Key questions for unions' renewal

In order to address generational change, trade unions should dedicate time, energies and strategies to thinking about ways in which labour organisations can engage young people and how to better communicate with them. One initial question is the following: In which places (outside of the formal work context) can unions engage young people?

There are other questions concerning union representation: How are young people protected, in particular, in the transition between school and work? What about young people that have atypical contracts? Once young people start working – without union support – how can labour organisations attract them?

These questions are fundamental to the question of increasing youth participation in union membership, but there are also other considerations:

- Which specific strategies can be developed to recruit young people?
- In which ways do unions establish their identity inside and outside labour organisations?

Notably, there are some slogans that have been popular with the media. A whole generation is called “lost generation”, referring to the NEET<sup>1</sup> phenomenon: how can trade unions engage young people who are looking for a job as well as all the other youths unemployed and not in school? (Castiglioni, 2011).

#### 3.2 Strategies and innovations

One of the issues that Simms (2011) was able to identify in relation to trade union responses to assisting young people during the financial crisis concerns “campaigning to recruit more young workers”. Almost all European countries have specific projects to engage young workers; however, the new challenges concern innovative ways to engage the youth.

The proliferation of social network websites represents an opportunity for trade unions to circulate information on their initiatives via creating new relations with young people: this could represent an early step in innovation of the new union's

---

<sup>1</sup> The acronym NEET stands for Not in Employment, Education or Training and describes young people who are disengaged from both work and education and are at a higher risk of labour market and social exclusion.

image. Labour organisations can also support young workers using an on-line consulting forum wherein the youth can write their question and directly contact trade unionists and activists and also receive information about topics related to their study, work and internships.

By concerning the other tasks that trade unions have to fulfil, labour organisations have to stand by (young) workers in helping them develop their job skills, particularly during delicate periods of their lives such as school-to-work transition or unemployment. Strategic interventions on youth's transition from education to the workplace represent an opportunity for trade unions to engage with young people during their studies, or when they are looking for a job.

Trade unions also can enter directly high schools and universities organising with students networking, events, activities that should include issues such as health and safety, the law at work, the minimum wage, trade union representation, the role of unions in the society. Via specific programmes in collaboration with schools, trade unionists can assist in creating an efficient learning experience in which they have the possibility to deepen students' understanding of how labour organisation can provide information and advice to individuals and members if they have problems at work.

Labour organisation should involve students in services that orient them to work by providing and supporting internship programs and accompanying young people in their passage from the school to the workplace. Thus, students and young workers can be aware of the role of the labour organisations via increased understanding of the activities and initiatives offered by unions.

#### 4. Conclusions

Labour organisations require a "cultural change" in terms of their issues, approaches and actions; at the same time, they have to maintain their contribution to the economy, social relations, and development of democracy.

The major priority for trade unions necessities they focus on the organisation and involvement of young people (Barber, 2004); the difficult task trade unions have to undertake is how. In all European countries, there are generally lower levels of trade unions membership among young workers than other groups (Simms, Eurofound 2011); the strategies that unions can carry out involve recruiting and engaging young people and attracting new (and future) members by intercepting them when they are students or young workers.

Therefore, some solutions that trade unions can consider are related mainly to generational change. The first is to enter the schools and universities through special meetings and projects; this represents an opportunity to intercept young people during their studies because when they start working, it is more difficult for them join a union.

Second, it is necessary to organise programs specifically tailored to students, by supporting them as they adjust to new work and accompanying them in their school-to-work transition. It is necessary for labour organisations to offer young people support, training programs and job-search assistance, both in high schools and universities.

Third, a labour organisation must employ innovative ways to communicate with youths – such as via social networking interfaces and Web sites more broadly – which will facilitate the development of greater recruitment opportunities.

Fourth, labour organisations can actually represent a place in which young people have the possibility to participate and where they can express themselves professionally.

In conclusion, the dialogue between generations may be an opportunity to raise new ideas and strategies for generational change by offering opportunities for interaction between young and old members within the unions.

#### References

- Barber, B. (2004), Foreword. In Rory Palmer, IPPR & Trade Union Congress, *Organise! A voice in every workplace* (p. 4), London: College Hill Press.
- Bauman, Z. (2001), *The Individualized Society*, Cambridge: Polity Press.
- Carrieri, M. (2006), L'incontro mancato: giovani e sindacato. In Carrieri M., Megale A., Pratelli C. (Eds.), *L'Italia dei giovani al lavoro. Sicurezza, tutele e rinnovamento del sindacato* (2006). Roma: Ediesse.
- Castiglioni, G. (2011), I sindacati e il ricambio generazionale. [Online] Available: [http://nuvola.corriere.it/2011/05/13/post\\_3/](http://nuvola.corriere.it/2011/05/13/post_3/) (May 1, 2012)
- De Luca, M. (2008), La partecipazione dei lavoratori all'impresa: un tema ancora attuale?, in Colasanto, M. (Eds.), *Una sfida da vincere: lineamenti storici della partecipazione dei lavoratori in Italia* (pp. 19-99), Roma: Edizioni Lavoro.
- Fairbrother P., & Yates C. A. B. (2003), Unions in crisis, unions in renewal? In Fairbrother P., & Yates C. A. B. (Eds.). *Trade unions in renewal. A comparative study* (pp. 1-31), New York: Routledge.
- Ferrari, M. (2011), Sindacato: dimensione globale e giovani. Bolletino Adapt, 10 marzo 2011, [www.adapt.it](http://www.adapt.it).
- Kahmann, M. (2002), Trade unions and young people. Challenges of the changing age composition of unions. [Online] Available: <http://www.valt.helsinki.fi/blogs/salonranta/tyoelamaan/ETUIMKTUYP.pdf> (May 1, 2012)

- Magatti, M. (2009), *Libertà immaginaria. Le illusioni del capitalismo tecno-nichilista*, Milano: Feltrinelli.
- Simms, M., Eurofound (2011), *Helping young workers during the crisis: contributions by social partners and public authorities*, European Industrial Relations Observatory (EIRO) Comparative analytical report. [Online] Available: <http://www.eurofound.europa.eu/docs/eiro/tn1101019s/tn1101019s.pdf> (May 1, 2012)
- Tannenbaum, F. (1951), *A Philosophy of Labor*, New York: Alfred A. Knopp.
- TUC – Trade Unions Congress (2004), *Young at heart? Government, unions and young people – a manifesto*. [Online] Available: <http://www.tuc.org.uk/extras/ManifestoYoungPeople.pdf> (May 1, 2012)

## Expectancy Outcomes and Self-Reported Alcohol Involvement in Educated Albanian Young Adults

**Erika Melonashi<sup>1</sup>**

American University of Tirana, Albania

Email: [e.melonashi@uat.edu.al](mailto:e.melonashi@uat.edu.al) Mobile Number: +355 692 994 472

**Skerdi Zahaj<sup>2</sup>**

American University of Tirana, Albania

Email: [s.zahaj@uat.edu.al](mailto:s.zahaj@uat.edu.al) Mobile Number: +355 692 720 020

**Greta Hysi<sup>3</sup>**

American University of Tirana, Albania

Email: [g.hysi@uat.edu.al](mailto:g.hysi@uat.edu.al) Mobile Number: +355 692 851 954

**Ridvan Peshkopia<sup>4</sup>**

American University of Tirana, Albania

Email: [r.peshkopia@uat.edu.al](mailto:r.peshkopia@uat.edu.al) Mobile Number: +355 695 408 706

---

**Abstract:** The World Health Organization (2004) has estimated that two billion people worldwide are alcohol consumers. Data from Albania indicate that at least 20% of Albanian adults fall into this category and an additional 1.5% of young people are alcohol dependent. Research has shown that people's beliefs and expectations about the effects of alcohol play a role in drinking behavior. We assessed the role of expectancies on the effects of alcohol as predictors of self-reported involvement in drinking behavior. It was expected that both positive and negative expectancies would predict alcohol involvement, over and above demographic variables. For the purpose of the study we recruited a non-probabilistic stratified sample of 450 Albanian students from three Albanian universities. The measures used were Leigh and Stacy's Alcohol Outcome Expectancies Scale and Mac Neill's Index of Alcohol Involvement. Regression analyses separately conducted for those classifying themselves as drinkers vs. nondrinkers. Thus, demographic variables were introduced in the first step, positive expectancies in the second step and negative expectancies in the third. Results suggested that positive expectancies related to entertainment or sexual behavior were significantly explaining alcohol involvement among the drinkers group. On the other hand, only gender was significantly explaining drinking behavior among the non-drinkers group. Implications for practice were discussed.

**Keywords:** Alcohol involvement, Alcohol index, Expectancy theory, Albanian young adults

---

---

<sup>1</sup> **Erika Melonashi** received her PhD in psychology from City College, an International Faculty of the University of Sheffield and is currently the Chair of the Department of Social Sciences and Education with the American University of Tirana.

<sup>2</sup> **Skerdi Zahaj** received his MSc in psychology from the University of Tirana where he also remains a doctoral student. He currently serves as the Director of the Center for the Study of Public Opinion, American University of Tirana as well as a lecturer of psychology with the AUT.

<sup>3</sup> **Greta Hysi** received her MSc in psychology from the University of Tirana where she also remains a doctoral student. She is the Coordinator of the AUT's Psychology Program as well as a lecturer of psychology.

<sup>4</sup> **Ridvan Peshkopia** received his PhD in political science from the University of Kentucky and spent a year as a postdoctoral fellow with George Washington University. He is currently the Dean of the College of Sciences and Humanities with the AUT where he lectures political sciences.

We are grateful to the students of American University of Tirana who participated in the research.

## 1. Introduction

### 1.1. Alcohol drinking: The extent of the problem

Consumption of alcohol among adolescents and young adults is a widely spread phenomenon in almost every society worldwide (World Health Organization, 2004). Indeed, drinking behavior has been associated with several consequences, which involve not only the individual, but also the family and society as a whole. It has been estimated that about two billion people worldwide are involved in alcohol consumption and 76.3 million of them have a diagnosable alcohol use disorder (WHO, 2004). In Europe alone, about 55 million adults drink at harmful levels (more than 40 g of alcohol, i.e., four drinks per day for men, and over 20 g, i.e., two drinks a day for women). The European Union (EU) countries therefore are considered as the heaviest drinking region of the world (WHO, 2011). Total alcohol consumption in the EU amounts to an average of 11 liters of pure alcohol consumed per adult each year. These high rates of consumption have clear consequences, as evident in alcohol-related death rates (195,000/year due to accidents, cancers, liver disease, etc.) (Rehm et al., 2004). Evidence related to health and social problems stemming from alcohol consumption among young people are also concerning. Alcohol consumption has been identified as the main cause for over 55 000 deaths in adolescents and young adults (Rehm & Eschmann, 2002). Other findings link alcohol consumption with unsafe sexual practices (Boyd & McCabe, 2005; Cooper, 2002). However, empirically testing the existing theoretical explanations in uncharted cases helps both with a reality check of these theories and our understanding of the causal complexity of alcohol consumption in society and how to tackle the problem.

### 1.2. Drinking behavior: Introducing the theoretical frameworks

The numerous theoretical approaches explaining drinking behavior can be grouped in three main categories including socio-cultural perspectives, behavioral, and cognitive approaches. Socio-cultural theorists argue that people are most likely to develop patterns of alcohol involvement when they live under stressful socioeconomic conditions. In fact, studies have found that regions with higher levels of unemployment have higher rates of alcoholism. Similarly, lower socioeconomic classes have substance abuse rates that are higher than those of the other classes (Franklin & Markarian, 2005; Khan, Murray, & Barnes, 2002). Other sociocultural theorists argue that substance abuse and dependence are more likely to appear in families and social environments where alcohol use is valued, or at least accepted. Researchers have found that problem drinking is more common among teenagers whose parents and peers drink, as well as among teenagers whose family environments are stressful and unsupportive (Kiser et al., 2008; Lieb et al., 2002). Nonetheless, while socio-cultural approaches are useful in explaining the behavior, they are less so when it comes to actual prevention or intervention efforts. In this aspect the behavioral and cognitive approaches provide further insight.

The behavioral approach for instance, places the focus on *operant conditioning*, and the role that the learning process may play in alcohol involvement (Ksir et al., 2008; Higgins et al., 2004). According to behaviorists, the temporary reduction of tension or rising of spirits produced by alcohol use has a rewarding effect, thus increasing the likelihood that the user will seek this reaction again. Furthermore, other rewards in the form of social approval also have a reinforcing effect on drinking behavior (Bosari & Carey, 2001). From a practical perspective, this approach suggests that if drinking behavior is not reinforced, it will disappear. Nonetheless, the pure behavioral perspective considers exclusively the creation of a stimulus-response association without taking into account the cognitive elements involved in the process (Comer, 2010).

The cognitive approach on the other hand, moves a step further by arguing that the rewards related to alcohol drinking, might act in increasing the frequency of this behavior by eventually producing the *expectancy* that alcohol will be rewarding. It is this expectation in turn, which motivates individuals to increase alcohol use at times of tension (Chassin et al., 2001). These claims are incorporated in the Alcohol Expectancy Theory, which assumes that cognitive activities such as anticipation, expectancy, memory about history of alcohol use, and modeling, play a primary role in determining behavior (Abrams & Niaura, 1987; Oei & Baldwin, 1994).

The expectancy approach views alcohol drinking not only as related to physiological effects, but rather as a function of the beliefs one holds regarding these effects. Positive expectancies about alcohol, which are likely to encourage people to drink, are especially influential in predicting involvement in drinking behavior (Ham & Hope, 2003). Negative expectancies (i.e., about harmful effects of alcohol drinking) are also associated with the extent of alcohol involvement but seem to be less powerful (Yeide, 2009). Thus, several studies have shown that alcohol users identify alcohol as an integral part of having fun, in both physical and psychological terms (Burke & Stephens, 1999; Steele & Josephs, 1990). Research has found that many adolescents hold strong beliefs about the effects of alcohol long before they take their first

drink (Agrawal et al., 2008). According to longitudinal research, adolescents who are just beginning to experiment with alcohol and who initially have the most positive expectations about its' effects will consume greater amounts of alcoholic beverages in the following years (Smith et al., 1995). Moreover, follow-up studies have demonstrated that expectations about the effects of alcohol are useful in predicting which individuals will later develop drinking problems (Jones, Corbin, & Fromm, 2001). Finally, the usefulness of expectancy theory extends beyond the prediction of alcohol involvement, towards the suggestion of prevention/intervention strategies at the cognitive level (Oei & Morawska, 2004). Prevention programs focusing on 'adjusting' or changing alcohol related expectancies of adolescents and young adults might be especially important in this context.

### *1.3. Introducing the context of the study*

As evident in the socio-cultural approach to alcohol involvement, stressful socio-economic situations and social acceptability of alcohol involvement represent two useful aspects in describing patterns of drinking behavior; hence it is quite important to conduct research on alcohol involvement in societies that are going through considerable social change. Balkan countries represent a good example in this context. The lack of research in general and alcohol related studies in particular highlights the importance of examining the specific behavior in this context. The present study has been conducted in one of the Balkan countries with probably the scarcest evidence in alcohol-related research. Even the studies conducted have an epidemiological character; for instance, research conducted by the Institute of Public Health for alcohol consumption in Albania, found that one in five people is a regular consumer (Institute of Public Health, 2002a). This study also suggests an increased use of alcohol by the young generation (Institute of Public Health, 2002b). Despite the epidemiological nature of the research, findings highlight the extent of the alcohol problem in Albania and the need for further research.

### *1.4. Research hypotheses*

The present study used the Expectancy Theory to understand alcohol involvement among Albanian young adults. The Expectancy Theory maintains that positive and negative expectancies about the effects of alcohol would significantly predict the index of alcohol involvement. Hence, people who expect positive physical, cognitive, emotional, and sexual outcomes from alcohol drinking will report a higher index of alcohol involvement (i.e., higher frequency and quantity of drinking). On the other hand people who expect negative outcomes in all four of these domains will report a lower index of alcohol involvement. Finally, the Expectancy model would significantly explain involvement in alcohol behavior over and above demographic variables, i.e., age and gender

## **2. Methodology**

### *2.1 Research Design*

The present study was a self-report survey design. The self-reported measure was considered to be appropriate because it is the best way of assessing perceptions, beliefs, and behaviors of individuals (Brenner, Billy, & Grady, 2011).

### *2.2 Study Sample*

We employ a non-probability stratified sampling for some reasons. First, conventional sampling methods are inappropriate for this specific research question. Young Albanians live geographically and culturally isolated to a greater degree than found in other societies. Therefore, a random national sample would not provide adequate sample variations, and stratification method is necessary (Peshkopia & Voss, 2008). Second, there are no established survey institutes in Albania, while private polling of random sampling often charge at levels that few research questions would justify. Third, telephone access and internet use are not systematically distributed across the population so random digit dialing is not possible (Peshkopia & Voss, 2008).

Our interviewers asked 450 undergraduate Albanian students selected from three public Universities; Tirana University, Agricultural University of Tirana and Polytechnic University of Tirana. During data entry 19 questionnaires were discarded for inappropriate procedure fulfillment. We defined each Faculty of these Universities as proportionate strata of the population of our study. The sample's strata percentage were Economics (9%), Law (9%), Medical (11%), Nursing (8%), Social Science (10%), Civil Engineering (4%), Electrical Engineering (5%), Mechanical Engineering (7%),

Geology (3%), Information Technology (5%), Forest Science (2%), Biotechnology (3%), Veterinary (6%), Natural Science (9%) and Fine Arts (9%).

The sample consisted of 184 men and 232 women. The age of participants ranged between 18 and 35 ( $M = 20.5$ ,  $SD = 2$ ). The sample contains 219 self-reported not drinkers and 209 drinkers.

## 2.3 Measures

### 2.3.1. The translation process

Two measures were used, the Alcohol Outcome Expectancies Scale and the Index of Alcohol Involvement. The measures were translated into Albanian and back-translated in English by four independent translators (two from English to Albanian and the other two from Albanian to English). The two translated versions were compared to examine any differences in language expressions and a final single version of the questionnaire was produced.

However, after piloting the instruments on fifteen students, we found problems in answering the Alcohol Outcome Expectancies Scale for those who do not drink alcohol. Hence, the wording of the scale was modified so that it referred to a hypothetical situation (e.g., "If you drank alcohol..."). Reports of students showed that this version was more comprehensive for those who do not drink, so we decided to include both versions of the questionnaire (the original and the adapted one) in the study. Therefore participants were free to choose which version they wanted to complete based on whether they classified themselves as drinking or not drinking. The following section describes each measure in detail.

### 2.3.2 Alcohol Outcome Expectancies Scale (AOES)

The Alcohol Outcome Expectancies Scale (AOES; Leigh, & Stacy, 1993) is a 34-item scale designed to measure alcohol expectancies. This instrument measures the beliefs that people hold about the effects of alcohol on their behavior, moods and emotion. On this instrument, participants are asked to rate each of the statements on a 6 points Liker scale (1= no chance to 6= certain to happen). Both positive and negative expectancies were assessed. Positive expectancies included four factors: social facilitation, fun, sex, and tension reduction. Negative expectancies also included four factors: social, emotional, physical and cognitive consequences. The drinkers' version had good internal consistency for both positive and negative expectancies,  $\alpha_{\text{positive}} = .89$ ,  $\alpha_{\text{negative}} = .87$ . The version for non-drinkers also showed good internal consistency,  $\alpha_{\text{positive}} = \alpha_{\text{negative}} = .85$ . The scale is scored by summing up the scores within each of the subscales.

### 2.3.3 Index of Alcohol Involvement (IAI)

Index of Alcohol Involvement (MacNeil, 1991) is a 25-items instrument designed to measure the degree of alcohol use. On this instrument, participants are asked to rate each of the statements on a 7 points Liker scale (1= never to 7= always). Reliability analysis revealed that the IAI had good internal consistency, with an alpha of 0.88. We scored the measure following instructions by MacNeil (1991). The procedure starts by first reversing items; 3, 4, 6, 9, 10, 12-15, 17, 19, 21, 24 and summing this and the remaining scores. The number of completed items is subtracted from this sum and the figure is multiplied by 100, and divided by the number of items completed times 4. The resulting scores range from 0 to 100 with higher scores showing greater alcohol involvement.

## 3. Statistical analyses

The analyses were conducted in two parts. First, data were filtered to include only participants who reported to engage in drinking behavior. Therefore, the first part of the analysis included a stepwise regression to test the hypotheses of the study. We relied on this type of analysis in order to sort out the specific contribution of each category of variables. Demographic variables were entered in the first step, positive expectancies in the second step and negative expectancies in the third.

The second part of the analysis focuses on participants who reported to be nondrinkers. Frequency and descriptive analyses revealed that despite classifying themselves in this category, the index of alcohol involvement was different from 0 (i.e., there was variability in reports of the index of alcohol involvement). Again, we conducted a three steps hierarchical regression within this group.

## 4. Results

### 4.1 Analyses among self-reported drinkers

Results produced a significant model,  $F(10,151) = 6.25$ ,  $p < .01$ , explaining 31% of the variance. Positive and negative expectancies significantly contributed in explaining the index of alcohol involvement over and above demographic variables (see Table 2). However, not all variables had a significant contribution. From the positive expectancies block, there were two significant predictors 'fun' and 'sex', with  $\beta_{\text{fun}} = .25$ , and  $\beta_{\text{sex}} = .21$ , both with  $p < .05$ . Therefore, participants who reported stronger expectations that alcohol would help them have a good time, or would improve their sexual performance were also reporting a higher index of alcohol involvement. The only significant predictor in the block of negative expectancies was the social factor,  $\beta = .35$ ,  $p < .01$ . However, the relationship was in the opposite direction to our expectation; participants who reported stronger expectations of negative social consequences also reported a higher index of alcohol involvement.

The two tables below show the first order correlations and the stepwise regression analyses conducted.

**Table 1:** Correlations of Index of Alcohol Involvement onto Demographic Variables, Positive Expectancies, and Negative Expectancies among Drinkers

Variables	2	3	4	5	6	7	8	9
1.IAI Final	.267**	.364**	.365**	.335**	.336**	.155	.295**	-.125
2.Social Facilitation	1.00	.653**	.661**	.646**	.101	.097	.162*	.215
3. Fun		1.00	.567**	.574**	.015	-.049	.141	.428
4. Sex			1.00	.532**	.130	.146	.192*	-.157
5. Tension Reduction				1.00	.302**	.261**	.372**	.216
6. Social Negative					1.00	.679**	.588**	-.110
7.Emotional Negative						1.00	.535**	.158
8.Cognitive Negative							1.00	.521
9.Social Facilitation								1.00

Note: \*\* $p < .01$ , \* $p < .05$

**Table 2:** Hierarchical Regression of Index of Alcohol Involvement onto Demographic Variables, Positive Expectancies, and Negative Expectancies among Drinkers

Steps/Models:	1	2	3
Age	-.07	-.07	-.10
Gender	-.19*	-.11	-.11
Social Facilitation		-.15*	-.10
Fun		.22*	.25*
Sex		.22*	.21*
Tension Reduction		.18	.01
Social Negative			.35*
Emotional Negative			-.15
Physical Negative			.04



Cognitive negative			.10
$\Delta R^2$	.04*	.17**	.10**
$R^2$	.04*	.21**	.31**

Note: \*\* $p < .01$ , \* $p < .05$

#### 4.2. Analyses among self-reported nondrinkers

Regression analyses for non-drinkers produced a significant model,  $F(10,153) = 3.25$ ,  $p < .01$ , explaining 19% of the variance ( $R^2 = .19$ ). Positive and negative expectancies did not significantly explain the index of alcohol involvement. The only significant contribution was made by gender,  $\beta = -.29$ ,  $p < .01$ . Hence, men who classified themselves as non-drinkers were significantly more likely to report a higher alcohol index involvement than women. The two tables below show the first order correlations and the regression analyses conducted.

**Table 3:** Correlations of Index of Alcohol Involvement onto Demographic Variables, Positive Expectancies, and Negative Expectancies among Nondrinkers

	2	3	4	5	6	7	8	9
1. IAI Final	.226**	.194*	.190*	.020	.064	.052	.040	-.052
2. Social Facilitation	1.00	.541**	.612**	.480**	.042	.108	.264**	.106
3. Fun		1.00	.526**	.254**	-.088	-.095	.001	-.086
4. Sex			1.00	.381**	-.012	.017	.229**	.034
5. Tension Reduction				1.00	.155*	.057	.468**	.304**
6. Social Negative					1.00	.577**	.363**	.624**
7. Emotional Negative						1.00	.397**	.645**
8. Physical Negative							1.00	.610**
9. Cognitive Negative								1.00

Note: \*\* $p < .01$ , \* $p < .05$

**Table 4:** Hierarchical Regression of Index of Alcohol Involvement onto Demographic Variables, Positive Expectancies, and Negative Expectancies among Non-Drinkers.

Steps/Models:	1	2	3
	-.14	-.12	-.12
Gender	-.29**	-.28**	-.29**
Social facilitation		.22	.19
Fun		.08	.11
Sex		-.02	-.04
Tension Reduction		-.10	-.08
Social Negative			.10
Emotional Negative			.15
Physical Negative			.09

Cognitive Negative			- .23
$\Delta R^2$	.10*	.06	.03
$R^2$	.10**	.16**	.19**

Note: \*\* $p < .01$ , \* $p < .05$

## 5. Discussion

Our results supported the hypotheses so that expectancies were associated with and predictive of the index of alcohol involvement. However, results varied based on whether participants classified themselves as drinkers or non-drinkers. Thus, for drinkers, higher positive expectancies of 'fun' and 'sex' were associated with a higher index of alcohol involvement. Quite paradoxically, the findings suggested that higher expectancies of socially negative consequences were also associated with a higher index of alcohol involvement. On the other hand, findings for participants who classified themselves as non-drinkers showed that the Expectancy Theory is not relevant in explaining their involvement in drinking behavior. Gender on the other hand, was the only factor having a significant role, so that men reported a significantly higher index of alcohol involvement as compared to women.

In line with existing scholarship, our findings suggest the relevance of positive expectancies such as fun or sex in explaining alcohol consumption among youngsters. Hence, young people who consider alcohol drinking as an integral part of having fun and as a facilitator of sexual behavior tend to drink more. This finding has important practical implications especially when considering studies that relate alcohol drinking and unsafe sexual behavior. On the other hand, participants who reported a higher involvement in drinking behavior, probably also have experienced more negative social outcomes of this behavior, which in turn modify their future expectations (Goldman, 1999). The source of such behavior might rest with socio-economic and cultural factors, and further research that might take into account a wider range of aggregate data would help to clarify this point.

As regards participants who classified themselves as non-drinkers, the findings were quite unexpected. Indeed, students who classified themselves within this category had nonetheless an index of alcohol involvement that was different from 0. The present finding could be explained in terms of the sensitivity that this category might have towards being categorized as 'drinkers', although they report engaging in this behavior on several occasions. Surprisingly, in this case, expectations of positive or negative effects of alcohol resulted unrelated to the index of alcohol involvement. Hence, the reports on thoughts and behavior within this specific group were apparently not connected. The same inconsistency appearing in the categorization by drinking behavior also appeared in reports of expectancies. A possible explanation is that this group of participants did not put much thought on drinking behavior (i.e., do they consider it as positive or negative etc.). Indeed cognitive-behavioral theories assume that individuals hold specific attitudes or have expectancies which are both conscious and strong enough to guide behavior. Nonetheless, if the individuals do not admit to engage in the specific behavior in the first place, the usefulness of these models becomes questionable.

Even so, our results as regards gender support previous findings on alcohol consumption gender gap with women reporting lower levels of drinking than men (Gill, 2002; Kypri, Langley, McGee, Saunders, Williams, 2002; Roche & Watt, 1999) perhaps due to gender-appropriate behavior, social roles and stigmatization (Wechsler, Lee, Kuo, Seibring, Nelson, & Lee, 2002). The higher involvement of men in drinking behavior suggests both the importance of considering them as future targets for prevention/intervention programs, and the possible involvement of variables such as gender role identity.

The present study has several limitations that should be recognized. For instance, caution should be taken in the generalization of the findings since the sample of the study included only university students in Tirana. Future research should aim towards the inclusion of other target groups, e.g., unemployed or working young people. Furthermore, the measures were not standardized in Albania, an issue that should be considered in future studies too. Despite its' limitations the present study provided a good basis for future research into understanding alcohol drinking behavior in Albania.

## References

- Comer, J. (2010). *Abnormal Psychology*. New York: Worth Publishers.
- Borsari, B., & Carey, K.B. (2001), Peer influences on college drinking: A review of the research. *Journal of Substance Abuse*, 13, 391–424.

- Burke, R.S., & Stephens, R.S. (1999). Social anxiety and drinking in college students: A social cognitive theory analysis. *Clinical Psychology Review*, 19, 513-530.
- Boyd, C.J., McCabe, S.E., & Morales M. (2005). College students' alcohol use: A critical review. *Annual Review of Nursing Research*, 23, 179-211.
- Brener, N. D., Billy J.O., & Grady, W.R. (2003). Assessment of factors affecting the validity of self-reported health-risk behavior among adolescents: evidence from the scientific literature. *Journal of Adolescent Health*, 33, 436- 457.
- Chen, C.M., Dufour, M.C., & Yi, H. Y. (2002). Alcohol consumption among young adults ages 18–24 in the United States: Results from the 2001–2002 NESARC survey. *Alcohol Research & Health*, 28, 269–280.
- Caetano, R., & Kaskutas, L.A. (1995). Changes in drinking patterns among Whites, Blacks, and Hispanics, 1984–1992. *Journal of Studies on Alcohol*, 56, 558–565.
- Cooper, M. L. (2002). Alcohol use and risky sexual behavior among college students and youth: Evaluating the evidence. *Journal of Studies on Alcohol*, (Suppl. 14), 101-117.
- Gill, J. S. (2002). Reported levels of alcohol consumption and binge drinking within the UK undergraduate student population over the last 25 years. *Alcohol*, 37, 109–20.
- Goldman, M. S. (1999). Expectancy operation: Cognitive and neural models and architectures. In I. Kirsch (Ed.), *Expectancy, experience, and behavior*, Washington, DC: APA Books.
- Ham, L. S., & Hope, D.A. (2003). College students and problematic drinking: A review of the literature. *Clinical Psychology Review*, 23, 719–759.
- Institute of Public Health (2002a). Survey, 2002, Tirana, Al: Institute of Public Health Survey.
- Institute of Public Health. (2002b). Study on Reproductive Health in Albania. Tirana, Al: Institute of Public Health.
- Kypri, K., Langley, J.D., McGee, R., Saunders, J.B., & Williams S. (2002). High prevalence, persistent hazardous drinking among New Zealand tertiary students. *Alcohol and Alcoholism*, 37, 457–64.
- Leigh, B. C., & Stacy, A. W. (1993). Alcohol outcome expectancies: Scale construction and predictive utility in higher order confirmatory models. *Psychological Assessment*, 5, 216-229.
- Levin, J. D. (1990). *Alcoholism: A bio-psychosocial approach*. New York: Hemisphere Publishing.
- Levine, H.G. (1978). The discovery of addiction: Changing conceptions of habitual drunkenness in America. *Journal of Studies on Alcohol*, 39, 143-174.
- Levine, H.G. (1981). The vocabulary of drunkenness. *Journal of Studies on Alcohol*, 42, 1038-1051.
- Levine, H.G. (1983). The good creature of god and the demon rum: Colonial and 19th century American ideas about alcohol, accidents and crime. In R. Room and G. Collins (Eds.). *Alcohol and Disinhibition*. Washington, DC: US National Institute on Alcohol and Alcohol Abuse, Research Monograph No. 12.
- Levine, H.G. (1984a). What is an alcohol-related problem? *Journal of Drug Issues*, 4, 45-60.
- Levine, H.G. (1984b). The alcohol problem in America: From temperance to alcoholism. *British Journal of Addiction*, 79, 109-119.
- Levine, H.G. (1987). Alcohol monopoly to protect the non-commercial sector of eighteenth-century Poland: In M. Douglas (Ed.), *Constructive Drinking: Perspectives on Drink from Anthropology*. Cambridge: Cambridge University Press.
- Levine, H.G. (1991). The promise and problems of alcohol sociology: In P.M. Roman (Ed.), *The Development of Sociological Perspectives on Use and Abuse: Alcohol, Culture and Social Control Monograph Series*. New Brunswick, NJ: Rutgers Center of Alcohol Studies.
- Levine, H.G. (1992). Temperance cultures: Concern about alcohol problems in Nordic and English-speaking cultures. In M. Ladder., G. Edwards and D.C. Drummond (Eds.) *The Nature of Alcohol and Drug-Related Problems*. (Society for the Study of Addiction, Monograph No. 2). Oxford: Oxford University Press.
- Levinson, D. (1983). Social setting, cultural factors and alcohol-related aggression: In E. Gottheil, et al. (Eds.). *Alcohol, Drug Abuse and Aggression*. Springfield: Charles C Thomas.
- MacNeil, G. (1991). A short-form scale to measure alcohol abuse. *Research on Social Work Practice*, 1, 68-75.
- Yeide, M. ( 2009). Underage Drinking Literature Review. Paper prepared for the US Department of Justice, Office of Juvenile Justice and Delinquency Prevention. Bethesda, MD: Development Justice Group, Inc.
- Roche, A. M., & Watt, K. (1999). Drinking and university students: from celebration to inebriation. *Drug Alcohol Review*, 18, 389–99.
- Steele, C.M., & Josephs, R.A. (1990). Alcohol myopia: It's prized and dangerous effects. *American Psychologist*, 45(8), 363-375.
- Oei, T.P.S., & Baldwing, A.R. (1994). Expectancy theory: a two process model of alcohol use and abuse. *Journal of Studies on Alcohol*, 55, 525-534
- Oei, T.P., & Morawska, A.(2004). A cognitive model of binge drinking: The influence of alcohol expectancies and drinking refusal self-efficacy. *Addictive Behaviors*, 1, 159–179.
- Wechsler, H., Lee, J. E., Kuo, M., Seibring, M., Nelson, T.F., & Lee, H. (2002). Trends in college binge drinking during a period of increased prevention efforts. *Journal of American College Health*, 50, 203–17.

## Personality, Preferred Leadership Style and Principal Preparation

**Peggy B. Gill**

University of Texas at Tyler  
Email: pgill@uttyler.edu

**Genie B. Linn**

University of Texas at Tyler  
Email: glinn@uttyler.edu

**Ross Sherman**

University of Texas at Tyler  
Email: rsherman@uttyler.edu

---

**Abstract:** This study identifies the preferred leadership styles of students enrolled in principal preparation programs and compares the styles identified by traditional public school teachers and charter school teachers who seek principal certification. Participative leadership and Goal Oriented leadership were identified as the predominant styles. Seventy-five per cent of teachers of traditional public schools identified one of these styles and 81% of teachers from charter schools identified one of these styles indicating both groups have similar preferred styles. Surprisingly, few of the participants in either group of the study were aligned with Visionary Leadership or Change Leadership. Although people have a preferred leadership style based on personality traits, it is possible to learn the skills needed for other leadership styles. The results of this study indicate emphasis should be placed on developing visionary leadership skills and change leadership skills. Hoyle (2007) emphasized the importance of understanding why some of our educational leadership program graduates fail to be successful in the field. While it is important to realize that school leaders must have good managerial skills as well as good leadership skills this research indicates students come to leadership preparation programs with a predisposition to learn management skills. Based on this research, it may be that educational leadership programs are not recognizing the need to provide specific learning approaches that lead to the development of transformational leaders.

**Keywords:** Personality, Preferred Leadership Style and Principal Preparation

---

University principal preparation programs are constantly challenged to “make a better principal.” The online Educational Leadership program at the University of Texas at Tyler begins this quest by introducing students to leadership theories and reflective practices. Consequently, students participate in a series of personality and preferred leadership style assessments as self-awareness activities to promote reflection and dialogue. This collected data also affords the faculty with an opportunity to study the correlation between personality and preferred leadership style of our students and the development of transformational leaders.

Additionally, as a newly minted online program designed for aspiring administrators in Texas schools, UT Tyler Educational Leadership has seen dramatic changes in both the number of students in the program, as well as an expanded reach to districts across the state. In particular, the program has seen large numbers of students from charter schools. Since charter schools represent a grand educational experiment, the data from the student assessments provided the Educational Leadership program an opportunity to compare and contrast aspiring administrators from traditional public schools and public charter schools. Do these students represent two different populations or are these students similar in leadership preparation needs?

Charter schools are being proposed as a possible solution to lagging achievement in traditional public schools and to promote local initiatives. One of the main purposes of these schools is to “encourage different and innovative learning methods.” This raises the question whether teachers who are attracted to this innovation and then seek principal certification have different characteristics of leadership style than teachers from traditional public schools who seek principal certification.

## Literature Review

Given the seriousness of our charge to prepare school principals, the review of literature focuses on the significance of transformational leadership to school success, along with the factors of leadership personality and leadership styles that are important to school leadership. Finally, the review examines leadership of charter schools.

## Transformational Leadership

With student achievement as the primary goal of all schools, it is important to examine the principal's influence in raising achievement. Research suggests that principals do have an indirect influence on student achievement as they give guidance encouragement and inspiration to people in their organization. While the teacher remains the most important factor in student achievement, principals provide the second-most influence on this area (Leithwood, Seashore- Louis, Anderson, & Wahlstrom, 2004). It is the principal who sets the climate and agenda that form the foundation to create a school with powerful teaching and learning for students.

According to James MacGregor Burns (1978) seminal research on leadership, he identified two types of leadership: transactional and transformational. Transactional leaders exchange one thing for another and this does not engender long-term support. Whereas, transformational leaders look for potential motives and seek to satisfy higher level needs possessed by the followers. The result of transformational leadership is the development of relationships that:

- 1) produce mutual stimulation and elevation.
- 2) convert followers into leaders.
- 3) develop leaders into moral agents.

Thus, all organizations seek to have their organizations led by transformational leaders.

How a principal leads influences the likelihood that school reform efforts will succeed or fail (Leithwood & Jantzi, 1999; Marks & Printy, 2003). For example, Marks and Printy (2003) report that transformational and shared instructional leadership positively influence school performance, as measured by the quality of instruction and student achievement through the engagement and development of teachers. Transformational leadership also increases staff motivation, commitment and empowerment (Dvir, Eden, Avolio, & Shamir, 2002), engagement (Silins et al., 2002), and perceived efficacy (Hoy & Woolfolk, 1993). Perhaps even more importantly, transformational leaders will benefit the school as a whole as the organizations forms around shared goals with well-developed networks and a culture of collaboration (Leithwood & Jantzi, 1999; Silins et al., 2002), and program coherence (Newmann, King, & Youngs, 2001).

## Leadership and Personality

Preferred leadership styles are closely related to personality type. (Resick, Whitman, Weingarden, & Hiller, 2009). Empirical research found significant correlations between aspects of transformational leadership and personality traits, or preferences, indicating that although leaders can be systemically developed there are dispositional factors, and gender biases, that contribute to perceived effectiveness (Hogan, Curphy, & Hogan, 1994; Hughes, Ginnett, & Curphy, 2009; Judge & Bono, 2000; & Northouse, 2007). In fact, a recent meta-analytic review of personality concluded that the Big Five personality dimensions are quite highly related to effective leadership (Judge, Bono, Ilies, & Werner, 2002). Therefore, some leadership researchers have concluded that perhaps some aspects of transformational leadership actually are heritable and personality does make a difference (Hughes, Ginnett, & Curphy, 2009). In addition, the characteristic of extroversion was found to be the strongest and most consistent correlate of transformational leadership (Bono & Judge, 2004). Given, that current principals of Charter Schools identify transformational leadership as needed in order to provide effective leadership in this relatively new setting, it could be anticipated that those seeking leadership positions in these schools would display this characteristic.

The Kiersey Temperament Sorter is a 70 item personality survey that identifies a personality type based self-report. Temperament is a configuration of observable personality traits, such as habits of communication, patterns of action, and sets of characteristic attitudes, values, and talents. It also encompasses personal needs, the kinds of contributions that individuals make in the workplace, and the roles they play in society. Dr. David Keirsey has identified mankind's four basic temperaments as the Artisan, the Guardian, the Rational, and the Idealist. According to Keirsey (2012),

Each temperament has its own unique qualities and shortcomings, strengths and challenges. What accounts for these differences? To use the idea of Temperament most effectively, it is important to understand that the four temperaments

are not simply arbitrary collections of characteristics, but spring from an interaction of the two basic dimensions of human behavior: our communication and our action, our words and our deeds, or, simply, what we say and what we do.

[http://www.keirsey.com/4temps/overview\\_temperaments.asp](http://www.keirsey.com/4temps/overview_temperaments.asp)

Using this approach, people can be divided into either concrete or abstract communicators. People who talk mostly about the facts and realities of everyday life are concrete in their communication. People who tend to talk about ideas and theories are considered abstract communicators. Of course, everyone talks about all of these ideas, but generally, peoples' communication falls into one of these two distinct categories.

The second broad category develops from how people act, what they do. Some people's actions focus on using the most effective and efficient means possible to accomplish goals. They do not focus on rules or proper channels to accomplish goals. These are considered utilitarian. Others tend to select cooperative and socially acceptable actions to accomplish goals. They want to do the right thing within the established rules. They follow rules of conduct and acceptable patterns. "These two ways of acting can overlap, certainly, but as they lead their lives, **Utilitarian** people instinctively, and for the most part, **do what works**, while **Cooperative** people **do what's right**" (Kiersey, 2011, emphasis in original). These categories are used to identify the four basic temperaments listed in Table 1.

**Table 1.** Four Temperaments with Behaviors

	Concrete	Abstract
Utilitarian	<b>Artisans</b> speak mostly about what they see right in front of them, about what they can get their hands on, and they will do whatever works, whatever gives them a quick, effective payoff, even if they have to bend the rules.	<b>Rationals</b> speak mostly of what new problems intrigue them and what new solutions they envision, and always pragmatic, they act as efficiently as possible to achieve their objectives, ignoring arbitrary rules and conventions if need be.
Cooperative	<b>Guardians</b> speak mostly of their duties and responsibilities, of what they can keep an eye on and take good care of, and they're careful to obey the laws, follow the rules, and respect the rights of others	<b>Idealists</b> speak mostly of what they hope for and imagine might be possible for people, and they want to act in good conscience, always trying to reach their goals without compromising their personal code of ethics.

Each of these temperaments brings strengths and challenges to leadership.

### Charter School Leadership

Charter schools are being proposed as a possible solution to lagging achievement in traditional public schools and as a tool to promote local initiatives. According to the Texas Education Agency (TEA), "charter schools are subject to fewer state laws than other public schools with the idea of ensuring fiscal and academic accountability without undue regulation of instructional methods or pedagogical innovation" (TEA, 2012). One of the main purposes of these schools is to "encourage different and innovative learning methods. TEA, 2012)" This raises the question whether teachers who are attracted to this innovative milieu and then seek principal certification have different characteristics than teachers from traditional public schools who seek principal certification.

In a 2010 study by Garza, principals of Charter Schools in Texas identified transformational leadership defined as passionate, charismatic and motivational leadership, as the leadership style needed for successful Charter Schools. According to Griffin and Wohlstetter (2001), the two distinct areas of leadership evident regardless of where the charter schools were organized are managerial leadership and instructional leadership. The charter schools that are more independent from their district schools were more consumed by managerial decisions than those charter schools more dependent on their district (Griffin & Wohlstetter, 2001). A large portion of a charter school leader's day is spent addressing managerial decisions such as finances and following the district, state, and federal policies. Other managerial decisions of a charter school leader are insurance, meals, staffing and other areas such as security, custodians, substitutes, and student transportation. Charter school leaders spend a large portion of their day on these managerial decisions, and the smallest part of a charter school leader's time goes to teaching and learning issues (Griffin & Wohlstetter, 2001).

Transformational leadership is identified in the literature as necessary for successful school reform in traditional public schools. Charter school principals also identify transformational leadership as essential in this innovative approach to educational reform. Educational leadership preparation programs are challenged with developing leaders who are

successful in both these realms. It is important to understand the students enrolling in these programs in order to design programs that will address the needed knowledge, skills and dispositions to lead successful schools.

Research Questions:

1. In an online educational leadership program, are the personality characteristics and leadership profiles of students currently teaching in charter schools different from the personality characteristics and leadership profiles of students currently teaching in traditional public schools.
2. In an online educational leadership program, are the leadership profiles of students consistent with that required for transformational leadership?

## Methodology

A convenience sample of 105 students enrolled in a graduate course on leadership as part of the coursework required for certification as principal completed the Kiersey Temperament Sorter (KTS) to identify their personality type. Seventy-seven students enrolled in the program were currently employed on a traditional public school campus, and twenty-eight of the students were currently working in charter schools. Of the twenty-eight students working on charter school campuses, nineteen of them were not native English speakers and had moved from Eurasia to the United States as college educated adults to teach in charter schools. All of these students had been in the United States at least four years and were seeking principal certification.

The KTS is a forced-choice format, online questionnaire containing 70 items. The KTS distinguishes between the four dichotomous indices of psychological type through the use of four scales: Extrovert/Introvert (EI), Sensor/Intuit (SN), Thinker/Feeler (TF), and Judger/Perceiver (JP). The KTS is part of a wider family of instruments designed to operationalize and to develop Jung's (1971) theory of psychological types. This wider family includes, for example, the Myers-Briggs Type Indicator (MBTI; Myers & McCaulley, 1985) and the Francis Psychological Type Scales (Francis, 2005). The KTS was found to have satisfactory internal consistency in a study by Waskel and Coleman (1991). Using a sample of 331 university students in the USA, they found that the KTS indices showed Cronbach's  $\alpha$  coefficients of 0.74 (EI), 0.89 (SN), 0.87 (TF), and 0.88 (JP). More recently, Fearn et al. (2001), in a study among 367 university students in the UK, found that the KTS indices showed Cronbach's  $\alpha$  coefficients of 0.68 (EI), 0.73 (SN), 0.74 (TF), and 0.82 (JP). From the studies surveyed it may be concluded that the KTS indices are generally internally consistent, showing Cronbach's  $\alpha$  coefficients above the level deemed satisfactory by DeVellis (2003) of 0.65.

## Findings

### Personality Type

The majority of students from both traditional public schools and charter schools identify themselves as **Guardians** (Table 2). Guardians make up about 45% of the general population (Kiersey, 2011). Both groups scored somewhat higher than those in the general population on this scale. Fifty-seven per cent of students from traditional public schools identified themselves as Guardians, while 64% of students from charter schools selected Guardian. Guardians are natural leaders who will provide stable, dependable leadership for the school. Practical, disciplined and trustworthy, they will keep things running smoothly. However, they do not easily adapt to change and is somewhat cautious in adopting innovations.

The second largest type in both groups is the **Idealist**. Idealists only make up about 20% of the general population (Kiersey, 2011). In this study, 21% of students from charter schools identified themselves as Idealist, but 30% of students from traditional public schools self-identified as Idealist. Idealists are most attuned to the greater good and values. They are good in social relationships and are often drawn to teaching or other social service positions. As leaders, they seek to encourage others to be the very best they can be. They tend to regard problems as opportunities and enjoy finding creative solutions. They strongly prefer cooperative relationships to achieve goals and may be uncomfortable with conflict. This discomfort with conflict may limit their effectiveness in highly conflicted schools, but their unique abilities to bring people together provide some balance.

**Rationals** only represented a small part of the population of students in educational leadership preparation. Only 11% of students from traditional public schools identified themselves as Rationals and 14% of students from charter schools. In the general population, only 5-10% self-identify as Rationals (Kiersey, 2011). Rationals tend to be pragmatic and independent. As leaders, they are the most likely to adopt an autocratic stance. However, because they focus on problem-solving they make good strategic leaders. They trust logic and will work hard to accomplish a goal. They are not rule followers and will find the most efficient and effective way to solve a problem.

**Artisans** make up 30-35% of the general population (Kiersey, 2012); however no students from charter schools identified themselves as Artisans and <3% of students from traditional public schools saw themselves as Artisans. Artisans are unconventional and bold. As leaders they make good troubleshooters focusing on the here and now and the excitement of solving problems. They prize freedom and tend to seek fun and excitement.

The Chi-Square test for independence comparing each group to the general population found a significant difference between the group of charter school students and the general population ( $p=.03$ ). However, the difference between the students from traditional public schools found no significant difference ( $p=.77$ ). This suggests these two groups of students are different in terms of personality type.

**Table 2.** Personality Types

	Traditional Public Schools		Charter Schools		General Population
	n	%	n	%	%
Guardian	42	57%	18	64%	45%
Idealist	22	30%	6	21%	20%
Rational	8	11%	4	14%	5%-10%
Artisan	2	<3%	0	0%	30%-35%

### Personality Characteristics

In addition to the four personality types identified by Kiersey, there are eight scales that give more specific information about the person. Kiersey provides these definitions:

1. How you are energized (Extrovert vs. Introvert)
  - An **Extrovert** is energized by the outer world of people and things
  - An **Introvert** is energized by the inner world of thoughts and ideas
2. What you pay attention to (Sensing vs. Intuition)
  - A **Senser** focuses on facts and the five senses
  - An **Intuitive** focuses on what might be and the sixth sense
3. How you make decisions (Thinking vs. Feeling)
  - A **Thinker** tends to use reason and logic
  - A **Feeler** tends to use values and subjective judgment
4. How you live and work (Judgment vs. Perceptions)
  - A **Judger** prefers to be planned and organized
  - A **Perceiver** prefers spontaneity and flexibility

**Table 3.** Personality Characteristics

	Traditional Public School	Charter School	General Population
Extrovert	81%	57%	65%
Introvert	19%	43%	35%
Senser	43%	43%	75%
Intuitive	57%	57%	25%
Thinker	43%	29%	50%
Feeler	56%	71%	50%
Judger	100%	100%	55%
Perceiver	0%	0%	34%

Chi-Square comparison of student preference from the traditional school group with the general population there was no statistical significance ( $p=.498$ ). When students from the charter school group were compared with the general population, there was no significant difference ( $p=.92$ ).

Students from traditional public schools were more likely to be extroverts than students from Charter Schools. This is of importance because extroversion was found to have the highest correlation with transformational leadership (Bono &



Judge, 2004). Another important finding is that all students from both groups saw themselves as Judger rather than Perceiver. Since planning and organization are requisite skills for both teaching and school leadership, this is an encouraging finding.

### Leadership Style

While everyone has the ability to use a variety of leadership style, people tend to have a “natural” style based on their personality type. Eight leadership styles have been proposed based on the sixteen personality types identified by Kiersey (Team Technology, 2011). These leadership styles are the preferred style of that personality type. Students in this study were aligned with six of these eight styles (Table 4).

**Table 4.** Leadership Style Based on Kiersey Personality Type

	Traditional Public School	Charter School
Participative	51%	43%
Change oriented	0%	0
Visionary	3%	7%
Action oriented	3%	0
Goal oriented	24%	38%
Executive	19%	14%
Ideological	0%	0
Theorist	0%	0%

The predominant style identified by both groups was Participative Leadership. The Participative Leader is people-oriented, a motivator who builds personal relationships. The students from traditional public schools were slightly more likely to be participative (51%) than the students from Charter schools (43%), but both groups were well represented by this style.

The second most preferred style was Goal Oriented. On this style, the Charter School students were somewhat more likely to select this style (38%: Charter School; 24% Traditional Public School). Goal Oriented Leaders observe, listen, clarify goals, and establish realistic expectations.

Executive Leadership style was selected by 19% of students from traditional public schools and 14% of students from charter schools. This style organizes, makes plans, sets measurable goals, coordinates work of different people, and manages resources.

Visionary leadership was identified by only 3% of students from traditional public schools and 7% of students from charter schools. Visionary leaders develop long term vision, produce radical ideas, foresee the future, and anticipate what is outside current knowledge. This is the style most closely aligned with transformational leadership.

Action oriented leaders take action, produces result, lead from the front, set an example, and does what is asked of others. Only 3% of students from traditional public schools indicated this was their natural leadership style, while no students from charter schools self-identified this style.

### Discussion and Implications

Educational leadership programs are creatures of the State. Their primary mission is to assure a continuous supply of highly qualified educational leaders for the state's educational institutions. In this vein they are charged with 'training' prospective educational leaders with the technical skills required to perform the various functions of the principalship. These functions are the associated with the management tasks required to operate an efficient educational organization. Tasks such as pupil and personnel management, fiscal services, plant management fall into this realm. Frequently, state certification examinations address these functions. Thus, it is incumbent upon educational leadership programs to provide the 'training' and experiences to correlate with the job tasks one performs as a principal.

However, the more traditional role of institutions of higher education is not to 'train but to 'educate' its students. One component of classical education is the development of conceptual skills in students such as critical thinking, problem solving, and decision-making. These are skills that transcend the immediate position and can be applied through out an individual's career irrespective of the position or changing circumstances. The reality is that it is impossible for an

educational leadership program to address all of the issues an educational leader will face during his or her career. Therefore, the ability to think conceptually should be the educational leadership program's driving force in the development of future educational leaders.

The first research question explored: In an online educational leadership program, are the personality characteristics and leadership profiles of students currently teaching in charter schools different from those of the students teaching in traditional public schools. The findings suggest that the two groups of students, from traditional public schools or charter schools, are statistically different in terms of personality type, but not in personality characteristics. Leadership styles identified by the two groups, while not indicating significant difference does not always translate into not important (Ziliak & McClskey, 2009). The two groups show some differences that may impact principal preparation programs. Students who currently teach in charter schools tend to be more reflective and rely on inner resources for energy suggesting the need for multiple reflective activities in every course. These students are more likely to self-identify as Guardians indicating a leadership style that is trustworthy and practical but not comfortable with change indicating a need for activities that challenge the status quo and encourage innovative thinking.

The implications are that if an educational leadership program wants to educate and not merely train future educational leaders it must provide students with opportunities to develop their conceptual skills. This can be accomplished through in class and field based experiences. In class experiences should provide students with open-ended experiences that do not necessarily have a right and wrong answer. Activities such as simulations and case studies provide open-ended scenarios for students to address. As these experiences are debriefed in class it provides students an opportunity to hear other students thinking processes, which helps to refine their own metacognitive thinking.

Field-based experiences are a staple of most educational leadership programs and provide students with hands on leadership and management experiences. Perhaps, the most beneficial aspects of these experiences is not completing the activities but reflecting on the insights derived. These reflections can be kept in a professional journal and address insights about people, the principalship and personal perceptions about one's own beliefs, values and feelings. These journals can be shared with the professor and allow a professional dialogue to occur. This process allows students to refine their analytical abilities and develop their conceptual skills.

The second research question asks whether students in online classes have leadership styles consistent with transformational leadership. According to Murphy (2002) educational leadership programs should focus on transformational leadership, moral stewardship, principal as educator/instructional leader, and principal as communicator/community builder. Fullan (1992) clarifies the meaning of transformational leadership as follows: "Transformational leaders...focus on changing the culture of the school. They build visions, develop norms of collegiality and continuous improvement, share strategies for coping with problems and resolving conflicts, encourage teacher development as career-long inquiry and learning, and restructure the school to foster continuous development" (p. 7). This study indicates that students come into leadership programs with preference for participative leadership, goal-oriented leadership and executive leadership, but they do not come with the visionary, action-oriented leadership preference that is necessary for transformational leadership.

The philosophy and design of most educational preparation programs reflect the vision and understanding of leadership for a changing society. Transformational and shared leadership are represented among "best practices" as the preferred model for reframed preparation programs along with a driving focus on instruction and the success of all children. However, visionary leadership, associated with transformational leadership is not a clear preference for many beginning students in principal preparation. Thus programs of principal preparation must incorporate activities and opportunities for students to develop the skills and dispositions for visionary leadership.

Research on the process of developing transformational leaders is limited and most is related to business. Avolio and Chan (2008) in a meta-analysis of the leadership development research looking at the past 80 years, found that only 200 studies out of 12,500 focused on transformational leadership development and most of those addressed short term intervention of one or two days. Principal preparation programs have the time to work on a longer timeframe of leadership development and are structured around the learning process itself. Thus the focus shifts to transformational learning as the key to developing transformational leaders.

A transformational leadership approach has the potential to engage all stakeholders in the achievement of educational objectives. The aims of leaders and followers coalesce to such an extent that it may be realistic to assume a harmonious relationship and a genuine convergence leading to agreed decisions. Transformational learning is the vehicle that leads to transformational leadership.

What then is transformational learning? Habermas (1971) identified three kinds of knowledge: instrumental, practical, and emancipatory. Instrumental knowledge is cause-effect and scientific knowledge. Practical knowledge focuses on

meaning and interaction between people rather than causality. Emancipatory knowledge is self-knowledge gained through reflection and perspective transformation. Transformational learning is centered in this emancipatory knowledge.

Merriam (2007) stated that "Transformational Learning is about change, dramatic, fundamental change in the way we see ourselves and the world in which we live" (p123). In a principal preparation course this takes the form of providing a catalyst that will allow students to identify their own assumptions, challenge these assumptions through self reflection, engage in critical debates about differing perspectives, and apply this new learning. The culture the professor establishes in the classroom is critical to transformational learning. Modeling self-reflection is essential. By openly questioning and reflecting, the professor establishes a class norm that encourages students to engage in self-reflection both inside and outside the classroom.

The catalyst for transformational learning may take many forms. One useful form identified by Cranton (2003) is the metaphor. One example of such an activity is found in a study by Linn, Gill, and Sherman (2007) where students were asked to provide a metaphor for the principalship. The responses ranged from being a parent, bull riding to unpredictable and capricious weather. All of these metaphors carry underlying assumptions that can be identified, explored, and debated in order to identify the learning lens and/or to affect personal change in beliefs and consequently behavior.

Another method would be to use a case study that allows examination from multiple perspectives, for example, the faculty, the student, the principal, the community. It is important to note here that simply analyzing the case study is not sufficient. Analyzing the study would bring forth instrumental knowledge and practical knowledge. Only if students proceed to identify personal assumptions behind the perspectives and engage in discussion of these perspectives can they begin the journey to transformational learning. These metacognitive activities require instruction that takes students beyond informational and practical learning while inviting emancipatory learning for future leaders.

## Summary

Hoyle (2007) emphasized the importance of understanding why some of our educational leadership program graduates fail to be successful in the field. While it is important to realize that school leaders must have good managerial skills as well as good leadership skills this research indicates students come to leadership preparation programs with a predisposition to learn management skills. Based on this research, it may be that educational leadership programs are not recognizing the need to provide specific learning approaches that lead to the development of transformational leaders.

With the opportunity to analyze the collected data from several perspectives, this study has become a catalyst for department dialogue in our constant reassessment of where we are going and how are we going to get there. Valuable research not only presents answers; it raises questions for deeper reflection and further investigation.

## References

- Avolio, B.J., & Chan A. 2008. The dawning of a new era for genuine leadership development. In *International Review of Industrial and Organizational Psychology*, In G Hodgkinson, & K. Ford, (Eds.), ( pp. 197–238). New York: Wiley
- Bono, Joyce E. Judge, Timothy A (2004). Personality and transformational and transactional leadership: A meta-analysis. *Journal of Applied Psychology*, 89(5), 901-910.
- Burns, J.M. (1978). *Leadership*. New York: Harper & Row, Publishers Inc.
- Cranton, P. (2003). Teaching for transformation. *New Directions for Adult and Continuing Education*, 92, 63-71.
- Dvir, T., Eden, D., Avolio, B.J., & Shamir, B. (2002). Impact of transformational leadership on follower development and performance: A field experiment. *Academy of Management Journal*, 45(4), 735-744.
- Farmer, T. (2010). Utilizing cognitive disequilibrium to prepare transformational leaders. *Journal for Liberal Arts and Sciences*, 14(2). 47-57.
- Fullan, M. (1992, February). Issue: Is the concept of transformational leadership at odds with the established view of instructional leadership? *ASCD Update*. Association for Supervision and Curriculum Development: Alexandria, VA. 4(2), 7.
- Garza, M. Y. (2010). *An investigation of charter school leadership skills and qualities*. Dissertation Abstracts. (UMI Number: 3448380)
- Griffin, N. C., & Wohlstetter, P. (2001). Building a plane while flying it: Early lessons from developing charter schools. *Teachers College Record*, 103, 336-366.
- Habermas, J., 1971. *Knowledge and Human Interests*, Boston: Beacon Press.
- Hogan, R., Curphy, G. J., & Hogan, J. (1994). What we know about leadership. *American Psychologist*, 49(6), 493-504.
- Hoy, W.K. & Woolfolk, A. (1993). Teachers' sense of efficacy and the organizational health of schools. *Elementary School Journal*, 93(4), 355-372.
- Hoyle, J. (2007). A preparation mystery: Why some succeed and others fail. *Planning and Changing*, 38(3&4), 148-163.
- Hughes, R. L, Ginnett, R. C., & Curphy, G. J. (2009). *Leadership*. New York: McGraw-Hill.

- Judge, T. A., Bono, J. E., Ilies, R., & Gerhardt, M. W. (2002). Personality and leadership: A qualitative and quantitative review. *Journal of Applied Psychology*, 87(4), 765-780.
- Linn, G. B. Sherman, R. Sherman, Gill, P.B. (2007). Making meaning of educational leadership: The principalship in metaphor. *NASSP Bulletin* 21 (2), 161-171.
- Leithwood, K., Jantzi, D., Coffin, G., & Wilson, P. (1996). Preparing school leaders: What works? *Journal of School Leadership*, 6(3), 316-342.
- Leithwood, K., Seashore-Louis, K., Anderson, & Wahlstrom, (2004). *How leadership influences student learning*. Learning From Leadership Project, The Wallace Foundation.
- Marks, H.M. & Printy, S.M. (2003). Principal leadership and school performance: An integration of transformational and instructional leadership. *Educational Administration Quarterly*, 39(3), 370-397.
- Merriam, S. B., Caffarella, R. S. & Baumgartner, L. M. (2007). *Learning in adulthood: A comprehensive guide (3<sup>rd</sup> Edition)*. San Francisco: Jossey-Bass, Inc.
- Murphy, J. (2002, April) Reculturing the profession of educational leadership: New blueprints. *Educational Administration Quarterly*, 38(2) 176-191.
- Newmann, F.M., King, M.B., & Youngs, P. (2001). Professional development that addresses school capacity: Lessons from urban elementary schools. *American Journal of Education*, 108(4), 259-299.
- Northouse, P. G. (2007) *Leadership: Theory and practice (4th Edition)*. Thousand Oaks, CA: Sage
- Osterman, K. & Sullivan, S. (1996) New principals in an urban bureaucracy: A sense of efficacy. *Journal of School Leadership*, 6, 661-90
- Resick, Christian J.; Whitman, Daniel S.; Weingarden, Steven M.; Hiller, Nathan J., (2009, November). The bright-side and dark-side of executive ego: Examining CEO personality, transformational leadership, and strategic influence *Journal of Applied Psychology*, 94(6),1365-1381.
- Silins, H.C., Mulford, W.R., & Zarins, S. (2002). Organizational learning and school change. *Educational Administration Quarterly*, 38(5), 613-642.
- Team Technology, (2011). Retrieved on November 1, 2011. <http://www.teamtechnology.co.uk/leadership-styles.html>
- Waters, J. T., Marzano, R. J., & McNulty, B. A. (2003). *Balanced leadership: What 30 years of research tells us about the effect of leadership on student achievement*. Aurora, CO: Mid-continent Research for Education and Learning.
- Ziliak, K. & McCloskey, D. (2008). *The Cult of Statistical Significance: How the Standard Error Costs Us Jobs, Justice and Lives*. Ann Arbor: University of Michigan Press.

## Languages Exchanges, Borrowings

**M.A. Fjona Cukani**

University "Pavaresia" Vlorë, Albania  
e-mail: fjona2002@yahoo.it

**Dr. Gladiola Elezi**

University "Ismail Qemali" Vlorë, Albania  
E-mail: gladiola.elezi@yahoo.it

---

**Abstract:** Linguistic communication was born as a necessity of human beings to communicate and to agree with one-other. According to Eduard Sapir, languages, like cultures, often turn out to be not self-sufficient systems – that is why the necessity for economic, commercial and political exchanges makes is obligatorily for human beings to communicate with each-other. Such communication brings out linguistic interferences, which are expressed through linguistic loans from one language to another, and causes partial changes of the language that embrace these loans. It is evident that thanks to bilingual speakers, the linguistic contacts and the linguistics loans happen. The linguistic contacts may happen in more various situations, in family, as it is the case of exogamy (a social arrangement where marriage is allowed only outside of a social/ethnic group), with the neighbours, at work etc. and may be of various intensity. In the majority of the cases, these contacts happen as a product of individual or group's confrontation in a communicative discourse where various languages meet. Nowadays, Albanian language is under the influence of foreign languages, English in particular and above all Italian and Greek – because of a considerable number of Albanians who have immigrated to Italy and Greece. There have been taken a lot of borrowings that do not exist in the Albanian linguistic bedrock and there is a tendency that others will be borrowed more and more. Many denominations from computational science, finance, market economy, modern arts etc, that have done remarkable progress, come into Albanian along with the concepts they express filling up gaps of the lexicon. Loan words and calques may be grouped into specific semantic fields where they appear more frequently

---

### 1. Cenni storici

La storia delle lingue è la storia dei popoli che hanno parlato e continuano a parlare queste lingue. Nel loro percorso storico, i popoli sviluppano i propri modelli e stili di vita, i rapporti economici e sociali, le idee politiche, le istituzioni religiose, ecc. In tale continuo cambiamento della società umana, non evolvono soltanto i modi di vivere, di mangiare, di vestirsi bensì anche il modo di pensare. Descrivere lo sviluppo di tutte queste componenti della vita di un popolo, significa scrivere la sua storia. Una di queste componenti è appunto la lingua.

La storia dei contatti tra le lingue è molto antica. E' impossibile dire quando si sono instaurati i primi contatti linguistici fra le persone che parlavano lingue diverse. Le ipotesi concernenti la collocazione nel tempo dei primi contatti tra le lingue sono legate al grande dilemma sulla probabile uniformità delle lingue nella loro origine oppure sulla nascita delle lingue come sistemi diversi in spazi e tempi diversi. I dati storici indicano che i contatti linguistici sono scaturiti come risultato della produzione e della necessità di scambiare merci tra le diverse tribù umane che parlavano lingue diverse. Infatti, i contatti personali e gli scambi di merci hanno portato a contatti tra le lingue.

La prima testimonianza archeologica di contatto tra lingue diverse è considerata la scrittura sullo Scoglio di Rosetta dell'anno 196 a.c., che contiene tre versioni dello stesso testo in egiziano geroglifico, in simboli demotici egiziani (in corsivo) e in greco. A causa dell'influenza di molteplici fattori sociali, i contatti fra le lingue sono di per sé dei processi molto complessi e complicati. Si tratta di fenomeni che svelano al meglio i rapporti molto stretti e inscindibili tra le lingue e le comunità sociali. L'influenza dei fattori sociali ed extralinguistici è determinante per la natura e la direzione dei contatti linguistici.

Perciò, quando si sostiene che la lingua albanese è una lingua indo-europea, non significa che tutto il suo patrimonio lessicale fa parte dell'antico fondo indo-europeo ma è stata arricchita anche da prestiti, parole prese da altre lingue. I prestiti possono essere raggruppati in base alla loro introduzione storica nella nostra lingua ed hanno una enorme importanza visto il loro peso nel determinare la stessa storia della lingua albanese. Il nostro popolo durante la sua antica storia ha avuto incessanti contatti diretti e rapporti con altre popolazioni. Grazie ad essi, nel lessico generale sono stati

introdotte costantemente parole appartenenti alle lingue dei conquistatori o dei vicini, mischiandosi con il lessico dei nostri avi e formando, a seconda della lingua d'origine, diversi stratti lessicali, definiti dai linguisti albanesi con i seguenti termini: i grecismi (dalla perenne vicinanza con la popolazione greca), i latinismi (durante i circa 500 anni di dominio romano), gli slavismi (tre secoli di dominio) e i turchismi (circa 500 anni di dominazione turca).

I prestiti lessicali nella lingua albanese, secondo la loro lingua d'origine, si dividono come segue:

**a. Parole di origine greca.** Costituiscono i primissimi prestiti lessicali nella lingua albanese. Si tratta di prestiti che, per ragioni geografiche, sono molto antichi, il cui flusso sarebbe iniziato attorno al VIII secolo a.c., quando le prime colonie greche si stabilirono nei territori illirici, come Epidamnos (Durazzo), Apolloni (Pojan ecc.) In generale, i prestiti dal greco antico appartengono all'artigianato, all'agricoltura, alla vita domestica: *fier, lakër, mokër, pjepër, presh, qersh, fis, flamur, lajm, mëndafsh, oreks, i pastër, pronë, tipar, stolis, trastë, trëndafil* ecc. Una gran parte dei prestiti lessicali dal greco è rimasta soltanto in parlate dialettali, mentre un'altra parte è gradualmente caduta in disuso (parole antiche, archaismi e istorismi).

**b. Le Parole di origine latina e neolatina** del lessico della lingua albanese appartengono ai primi secoli della nostra era. L'occupazione romana sul territorio dei nostri avi è durata circa 500 anni, perciò, l'influenza del latino nella lingua albanese è stata così importante che Gustav Meyer, assieme ad altri ricercatori, hanno sostenuto la tesi che l'albanese sia una lingua "mista, romana a metà". Le tracce del latino nella lingua albanese sono però sopravvalutate. In realtà la lingua albanese ha resistito alla forte influenza del latino, non è stata assimilata. I prestiti dal latino hanno lasciato tuttavia numerose tracce nella denominazione delle parti del corpo, la casa, i nomi degli animali, degli alberi e ovviamente nella medicina: *bujk, faqe, fëmijë, flock, fqinj, furrë, fytër, gusht, janar, këmbë, këngë, kokë, kushër, lepur, letër, maj, e martë, mars, e mërkurë, mik, mjek, prill, prind, pulë, pyll, qen, qepë, qytet, shkurt, shok, ulli, i varfër* ecc.

Dopo il periodo dell'occupazione romana la lingua albanese continua ad avere significativi prestiti dalle lingue neolatine, soprattutto dalla lingua italiana e dalla lingua francese. Tra le lingue neolatine, a causa della vicinanza geografica e dai rapporti culturali e storici, la lingua che ha influenzato maggiormente il lessico della lingua albanese è l'italiano. L'influenza linguistica italiana in Albania ha continuato incessantemente (la conquista ottomana del paese l'ha solo rallentata). Sia in epoca romana, sia durante il medioevo, i rapporti tra i due paesi sono stati principalmente politici, religiosi, commerciali e culturali. R. Helbig sostiene che l'influenza dell'italiano si fa sentire di più nel settore del commercio, della navigazione, militare, ecclesiastico, della vita quotidiana domestica ecc.: ambiente ecclesiastico: *abaci, adhuroj, altar, brevial, frat, sakrament, dioqezë*; commercio: *bankë, fitoj, kambial, paguaj, kapar*; navigazione: *barkë, baticë, zbaticë, marinar, velë, furtunë, vapor*; armi e guerra: *batore, përkrenare, trumbetë*; domestico: *furnelë, kompost, rosto, salcë* ecc. I prestiti dall'italiano sono stati notevolmente incrementati dopo il 1912, soprattutto dopo l'occupazione fascista del 1939. Nella terminologia della tecnologia, dei macchinari, della costruzione ecc. sono stati introdotti numerosi termini dall'italiano. Lo stesso è successo nel settore dell'agricoltura, della falegnameria, della cucina, della moda e dell'arte ecc. Ovviamente, non tutti questi prestiti sono rimasti in uso, tuttavia, in seguito e persino nei nostri giorni sono entrati e continuano ad entrare nuovi italianismi, alcuni dei quali, come *anunçoj*, non devono essere lasciati a radicare.

I primi prestiti dalla lingua francese, invece, risalgono alla fine del XIX secolo e all'inizio del XX secolo. Sono generalmente parole utilizzate nei settori dell'amministrazione, della giustizia, della scuola, della vita sociale e politica, nella tecnica, nella medicina, nelle arti, nella moda ecc: *adresë, ambasadë, barrikadë, bluzë, bronsh, broshurë, burokrat, bursë, byro, deklaratë, depo, dosje, ekip, etapë, galloshe, grevë, gri, kamion, kancer, masazh, mesazh, pallto, parashutë, pardes, plazh, prokuror, prizë, pudër, shofer, shovinizëm, triko, turne* ecc. Generalmente i prestiti dalla lingua francese fanno parte del lessico professionale e terminologico e molti di essi hanno un uso internazionale.

**c. Le parole d'origine slava**, che generalmente fanno parte del lessico della lingua serba e quella bulgara, sono entrate a far parte del vocabolario della lingua albanese durante il Medioevo. Parole di origine slava si trovano nel settore dell'agricoltura, dell'allevamento, in quello artigianale, nell'organizzazione sociale, ecc. *çekiç, çudit, dobi, fllad, gostit, gozhdë, grabit, grusht, habi, kockë, prashit, pushkë, strehë, trup* ecc. Di origine slava sono anche parte dei toponimi: *Bistricë, Bogovë, Bozhigrad, Çorovodë, Gorishtë, Novoselë, Pogradec, Zagori* ecc.

**d. Le parole d'origine turca** sono entrate a far parte del vocabolario della lingua albanese a partire dal XV secolo. I settori più colpiti dall'influenza della lingua turca sono stati l'urbanistica, l'abbigliamento, l'amministrazione, l'arte culinaria ecc. Sono minori invece i prestiti nei settori dell'agricoltura, del bestiame e della vegetazione. I primissimi prestiti lessicali appartengono ai settori militare e all'abbigliamento: *bori, çarçaf, çorape, daulle, dyfek, fitil, sënduk, top* ecc., seguono poi prestiti appartenenti ad altri settori: *baba, bilbil, fodull, hakë, hambar, hendek, kafe, inat, manushaqe, pazar, penxhere, perde, raki, sahat, tepsi, xhep, xhezve* ecc. Questo primo gruppo di parole d'origine turca è cresciuto con parole del settore della vita sociale, dell'arte culinaria ecc. Va notato che molte parole d'origine orientale sono state completamente assimilate dalla lingua albanese diventando parte del suo patrimonio. È importante ribadire che tramite la lingua turca sono entrate a far parte del lessico albanese numerose parole di lingua **persiana** e **araba**, perciò, è più

corretto utilizzare il termine **orientalismi**, anche se a fare da veicolo a questi prestiti nel lessico albanese è stata la lingua turca. L'introduzione di ulteriori prestiti dalla lingua turca è cessata definitivamente. Nel 2005 è stato pubblicato il "Dizionario degli orientismi nella lingua albanese", di Tahir Dizdari, il quale contiene circa 4500 parole prese in prestito dal turco, la maggior parte di esse è di origine persiana e araba.

**e. Per prestiti contemporanei.** Con questo termine si intendono le parole che sono entrate a far parte del lessico della nostra lingua negli ultimi decenni. Notiamo qui, prestiti dall'inglese, dal francese, dall'italiano e più raramente dal greco, tedesco e russo.

## 2. L'influenza dell'inglese e dell'italiano sulla lingua albanese

La moderna cultura occidentale ha ormai invaso l'Europa dell'Est sottoponendola a radicali e veloci trasformazioni. Tale trasformazione che si denota in tutti i campi della quotidiana attività umana si riflette anche sul linguaggio quotidiano. Non fa eccezione a questo mutamento anche la lingua albanese la quale sta attraversando la più grande invasione di prestiti linguistici di tutta la sua storia. Va subito detto che quando si parla della cultura del XXI secolo, ci si riferisce di solito alla cultura multimediale, al consumismo, alla globalizzazione, il che spiega di per sé il genere delle trasformazioni culturali di cui siamo testimoni. Dopo la caduta del regime venti anni fa, il cittadino albanese scopre la nuova civiltà, quella del consumo che lo costringe a copiare il nuovo modello, quello americano della persona di successo, con un nuovo modo di vivere che travolge tutto, dal mangiare, al vestire, persino al modo di pensare. Il fenomeno, che sta mettendo in difficoltà l'indipendenza delle culture nazionali e sta dando vita ad una nuova cultura globale, sta minacciando addirittura l'esistenza delle cosiddette piccole lingue, non abbienti lo status di lingua internazionale qual è la lingua albanese.

L'inevitabile influenza della cultura americana sul nostro paese si piega per svariati motivi: il successo mondiale dell'economia americana, la sua posizione di superpotenza politica e militare, il cinema, la televisione, la cultura in generale. L'influenza della cultura italiana invece trova spiegazione nella vicinanza geografica, nella storia spesso comune, negli scambi, nel ruolo dei media, nell'emigrazione. E' da notare però che la cultura italiana svolge per quella americana anche il ruolo di traghettatore verso di noi. Infatti, è per questo motivo che l'influenza linguistica di queste due culture viene esaminata assieme.

È ormai noto che la lingua fa parte dell'esistenza umana in generale. Ne fa parte e ne diventa forma di espressione. Il successo economico di un paese e l'influenza su un altro decidono anche sull'attrattiva della sua cultura e della sua lingua. In tal modo, gli individui, a volte volenti a volte nolenti, si trovano ad edificare la loro identità socio-culturale facendo uso della lingua, anzi, delle lingue. Scrive Eduard Sapir: "Le lingue, come le culture stesse, sono raramente autosufficienti, perciò la necessità di scambi economici, commerciali e politici porta obbligatoriamente le persone nella situazione di dover comunicare gli uni con gli altri. È da questi contatti che nasce anche l'interferenza e l'influenza linguistica che trova vita in particolar modo nei prestiti da una lingua all'altra." (Sapir, Nuh, 1990).

Naturalmente, i contatti linguistici e di conseguenza i prestiti linguistici succedono principalmente grazie ai bilingui e possono succedere in situazioni e domini diversi. Possono avvenire in famiglia, nei casi di exogamia (matrimonio con chi non fa parte dello stesso gruppo etnico), fra vicini, al lavoro ecc e possono avere intensità diversa. Come viene notato da quasi tutti gli autori, i contatti linguistici non sempre sono amichevoli. I contatti che portano ad una influenza linguistica sono spesso inamichevoli. Le invasioni e la supremazia politica, economica e culturale di determinate nazioni si manifesta anche nella supremazia linguistica. Da questo punto di vista, Leonard Bloomfield, dopo aver fatto la differenza fra la prestazione culturale e la prestazione intima, nei casi di questi ultimi parla di lingua superiore e lingua inferiore. Il rapporto di superiorità - inferiorità nelle lingue non concerne le lingue stesse o i loro sistemi linguistici, bensì altri elementi di natura economica, politica e culturale, i quali fanno diventare una nazione superiore ad un'altra e tali rapporti si riflettono anche nei rapporti linguistici. (Bloomfield, Nuh, 1990).

Attualmente, la lingua albanese è aperta dinanzi alle lingue straniere, in particolare all'inglese, e all'italiano e al greco a causa dell'immigrazione. L'attitudine socio-psicologica dell'individuo albanese-parlante determina anche la natura del suo prodotto linguistico, determina cioè il riflesso dell'albanese contemporaneo. Nella gran parte del tempo, sebbene tale individuo è l'utente graduale della lingua, le trasformazioni linguistiche notate nella lingua albanese in questi ultimi anni non sono affatto graduali. La rapidità con la quale si manifestano e si diffondono i nuovi modelli linguistici è connessa alla immediatezza dei media moderni che non conoscono più frontiere e raggiungono il destinatario del messaggio quasi all'istante.

Gran parte delle trasformazioni linguistiche nella lingua albanese si riferisce a cambiamenti lessicali e stilistici che si presentano quale risultato di una forte inondazione di prestiti dall'inglese e dall'italiano. Questi hanno cambiato il volto della lingua albanese in questi ultimi anni a causa del loro carattere internazionale e al loro frequente uso nel linguaggio quotidiano. In linea di massima, un prestito va inteso come un elemento lessicale straniero p.s.: *roaming, reality show*,

*konfondoj, inicioj, afirmoj, azhornoj*. Di solito, si tratta di elementi che hanno una media frequenza d'uso nella lingua albanese. Ci sono però prestiti tali, i cosiddetti *loanwords*, che sono distinguibili assai facilmente e un utente della lingua può decidere di usarli o farne a meno oppure di non esagerare con il loro uso. Ovviamente, gran parte dei prestiti nella lingua albanese sono dovuti alla necessità di denominare oggetti, attitudini e concetti stranieri, p.s.: "*Halloween, Pica, Hamburger*", invenzioni tecnologiche, p.s.: "*Kompiuter o DVD*" ecc. Questi costituiscono la classe dei prestiti essenziali. Si prende in prestito il nome e l'idea o l'oggetto al quale si riferisce. L'uso ormai tradizionale, la loro frequenza e la loro internazionalizzazione fanno sì che alcuni prestiti, p.s. *specialistë kompjuteri o ekonomistë*, non ci stupiscano più, anzi, il loro disuso ci lascerebbe perplessi, significherebbe una mancanza di professionalità in questa epoca di comunicazione globale. In tal caso, ogni tentativo di traduzione risulterebbe difficile e spreco di tempo. È inefficiente tentare di indovinare neologismi a dei prestiti che hanno un fortissimo carattere internazionale. Tuttavia, ci sono dei prestiti, i cosiddetti di lusso, che non sono importanti perché hanno il loro equivalente nella lingua albanese. La loro funzione è esclusivamente espressiva, sono il risultato di un desiderio di adattarsi a una cultura popolare che esige a noi di essere *carina, happy, cool, amore, acido, super* ecc.

Ultimamente si nota una crescente frequenza d'uso di prestiti inutili quali: *editor per botues, intervenim per ndërhyrje; konsensus per marrëveshje, mirëkuptim; kambist per këmbyes (parash), mediator per ndërmjetës, parlament per kuvend, opcion per rrugëzgjedhje, promovim per paraqitje* etj. Come se non bastasse il prestito *reklamë*, oggi va usato con lo stesso significato un altro prestito *publicitet*; come se no bastasse *sponsor*, ci si mette il complemento "*gjeneral*" (per *i përgjithshëm*).

Ciò che desta preoccupazione però è un altro genere di prestiti, il calco semantico. È il caso in cui si prende in prestito soltanto l'idea, il significato di una parola straniera e gli si addossa una parola albanese oppure un prestito molto più antico che si è già guadagnato un posto nel lessico albanese. Un utente di livello medio della lingua non percepisce i calchi come elementi stranieri perché è stato preso in prestito soltanto il significato e non la forma esterna che si distinguerebbe facilmente. Perciò i calchi semantici vengono chiamati dai linguistici prestiti nascosti, visto che sono difficilmente distinguibili da un non esperto del settore. Per memorizzare, conservare un documento, un qualsiasi file nel computer, usiamo il verbo: *shpëtoj (salvare, to save)*. Si tratta infatti di un classico calco semantico dall'inglese in italiano e poi anche in albanese. Tale verbo, prima dell'introduzione nel paese del computer, veniva usato soltanto nel significato di salvare qualcuno da un pericolo. Attualmente viene comunemente usato anche con il significato inglese del termine *to save* nel campo informatico.

I più pericolosi rimangono però i calchi sintattici perché deformano la struttura sulla quale si regge il sistema linguistico. Chiamati da Haugen *loanshifts*, di solito nascono da una diretta e cattiva traduzione di locuzioni o modi di dire inglesi oppure italiani. Sono pure questi molto difficili da distinguere perché non si percepiscono come elementi stranieri trattandosi infatti di parole albanesi il cui significato dipende dal contesto: *të bësh para (l. to make money), hej plako (l. hey dude.), kujdesu për veten (l. take care), sa skorbut që je (l. ma quanto sei scorbutico), hajde te xia (l. vieni dalla zia)*.

La divisione dei prestiti e dei calchi viene eseguita a seconda del campo semantico in cui vengono usati più frequentemente. Tale divisione ci permette l'identificazione di quei aspetti culturali dove l'influenza inglese e italiana è presente. Perché, come sostiene Bloomfield, i prestiti linguistici sono ciò che una comunità linguistica impara da un'altra cultura, sono cioè dei prestiti culturali. L'enorme sviluppo della tecnologia di comunicazione annienta le frontiere e facilita tale processo. Come si noterà in seguito, i prestiti e i calchi, indipendentemente dai campi semantici dove vengono usati, si adottano in gran parte con il sistema fonetico e grafico albanese. Negli esempi seguenti vengono riportati tra parentesi sia il prestito inglese, sia quello italiano. Nel caso dei calchi viene pure riportata la rispettiva traduzione in inglese o italiano per dimostrare la corrispondenza con l'originale riportata fra le parentesi:

### 3. Parti variabili del discorso

La parola straniera è stata ammessa qualora richiesta da un determinato stile linguistico, quale lo stile scientifico oppure quello politico-sociale dove notiamo i seguenti prestiti: *absolutisht (al posto di kryekëput), abuzim (shpërdorim), argumentoj (provoj, vërtetoj), diferencë (ndryshim), agrikulturë (bujqësi), realizoj (kryej), urgjencë (ngutje), abrogoj (shfuqizoj), agravohet (rëndohet), minorancë (pakicë), maksimal (më i lartë), mazhorancë (shumicë)*.

Si nota tuttavia la tendenza di alcune parlate professionali, tecniche, di essere quanto più internazionali, generalizzanti. Tale fenomeno è più frequente nel campo dell'arte, della moda, della finanza, dell'informatica, del turismo ecc.



#### 4. Modi di comunicazione; la tecnologia moderna

Diversamente dai prestiti del lessico generale, i quali sono ormai ben radicati nella lingua e convivono con il lessico albanese, i prestiti della terminologia, raggruppati in centinaia di campi del sapere, continuano tutt'ora ad entrare in gran numero, incentivati dalla incessante nascita e manifestazione di nuovi concetti connessi allo sviluppo scientifico e della tecnologia moderna, dall'uso di apparecchi e macchinari sofisticatissimi nelle nuove industrie (computer, cellulari, androidi ecc). Gran parte di questi prestiti riesce a conservare la forma e il modello in uso in tutte le altre lingue. Parte di questi termini starnieri si fissano solitari, come elementi indispensabili per i sistemi linguistici terminologici:

**prestiti:** DVD (*I. DVD*), MP3 (*I. MP3*), kompakt disk (*I. compact disc*), monitor (*I. Monitor*), chat (*I. Chat*), display (*I. display*), haker (*I. hacker*), e-mail (*I. e-mail*), internet (*I. internet*), roaming (*I. roaming*), laptop (*I. portatile, laptop*), modem (*I. Modem*), skaner (*I. scanner*), CD (*I. CD*), reality (*I. reality*), kompjuter (*I. Computer*), facebook (*I. facebook*), skype (*I. skype*), windows (*I. windows*) ecc.

**calchi:** telefon celular, (*I. Telefono cellulare, telefonino, I. Cellular phone*), realitet virtual (*I. Realtà virtuale, I. Virtual reality*), posta elektronike (*I. Posta elettronica, I. Electronic mail*), faqe web, (*I. Pagina web I. Web page*) etj.

#### 5. Terminologia delle NGO

Tutta la terminologia delle organizzazioni, associazioni e organismi è stata presa in prestito: fokus grup, workshop, axhenda, tavolina të rrumbullakta, asistent, asistencë, asocim, fondacion, forum, moderator ecc.

#### 6. Alimentazione e costumi ed usanze ad essa connessa:

**prestiti:** kornfleiks (*I. Cornflakes*), McDonald (*I. McDonald*), Big Mac (*I. Big Mac*), katreing (*I. Catering*), barbekju (*I. Barbecue*), cheesburger (*I.cheesburger*)

pica (*I. Pizza, I. Pica*), makarona (*I. Macheroni, I. Pasta*), mocarela (*I. Mozzarella, I. Mozzarella*), rizoto me perime, rizoto me fruta deti, makiato, espressino ecc.

**calchi:** kuzhinë etnike (*I. Cucina etnica I. Ethnic food*), snack bar (*I. Snac bar I. Snac bar*), hot dog (*I. Hot dog I. Hot dog*), fast food (*I. Fast food I. Fast food*), piceri (e tutti i suoi sottoprodotti, p.s.: pica margaria-*I. Pizza margherita I. Pizza margherita*), coffee-break (*I. Coffee-break I. Coffee-break*), merenda, kafe ekspres (*I. Espresso I. Espresso*) ecc.

#### 7. Cultura popolare:

**prestiti:** Halloween (*I. Halloween*), puzzle (*I. Puzzle*), talk show (*I. Talk show*), thriller (*I. Thriller*), casting (*I. Casting*), grafitë (*I. Graffiti*), karaoke (*I. Karaoke*) supersticion (besëtytni), velina ecc.

**calchi:** soap opera (*I. Soap opera I. Soap opera*), televizion kabllor (*I. Televisione via cavo, I. Cable TV*), kinema tridimensionale ( *I. Cinema tridimensionale I. Three-dimentional cinema*), je njësh (*I. numero uno, I. number one*), bigbrother, (*I. Grande fratello, I. bigbrother*) week-end (*I.fine settimana I. Week-end*) etj.

#### 8. Sport e palestra

Quando si va in palestra, oppure quando si pratica qualche sport, troviamo, usiamo, facciamo: aerobic classes, stepper, jogging, windsurf, trekking, boks, basketboll (*I. Basket*), dopietë e tripletë (*I. Dopietta, tripletta*), transfertë (*I. trasferta*), pankinë (*I. panchina*), fitoj skudeton (*I. vincere lo scudetto*), futboll, arbitër (*I. arbitrio*), guardalinjë (*I. guardalinea*), avancoj (*I. avanzare*), triumf (*I. Triumfo, I. triumph*) ecc.

#### 9. Abbigliamento

Quando si fa la spesa (*shopping*) nei negozi di abbigliamento, noi compriamo: T-Shirt (*I. t-shirt*), shorts (*I. shorts*), "streçe" o pantajets (*I. pantajets*), kualitet (*I. qualità*), balerina (*I. Ballerine*), bikini (*I. Bichini*), publicitet (*I. pubblicità*), skonto (*I. sconto*), okazion (*I. occasione*) ecc.

## 10. Prodotti di bellezza

**prestiti:** *glitter* (l. *glitter*), *lipstic* (l. *Lipstic*), *lifting* (l. *lifting*), *rimmel* (l. *rimmel*), *eye-liner* (l. *eye-liner*), *make-up* (l. *make-up*) ecc.

**calchi:** *make-up permanent* (l. *make-up permanente* l. *permanent make-up*), *beauty-farm* (l. *beauty farm* l. *beauty farm*) ecc.

## 11. Lavoro

*hacker* (l. *hacker*), *broker* (l. *broker*), *designer* (l. *designer*), *stilistë* (l. *stilista*), *showman* (l. *showman*), *disc jockey* (l. *disc jockey*) *soprano* (l. *soprano*), *tenor* (l. *tenore*), *picajol* (l. *pizzaiolo*), *bandit* (l. *bandito*), *laureate* (l. *laureate*), *veteriner* (l. *veterinaio*) ecc.

## 12. Uso degli eufemismi

**calchi:** *ofertë speciale* (l. *Offerta speciale* l. *Special offer*), *bota e tretë* (l. *Terzo mondo* l. *Third World*), *mosha e tretë* (l. *Terza età* l. *third age*) etj.

**La parlata quotidiana dei giovani** è piena zeppa di prestiti inglesi e italiani: *wow*, *cool*, *ciao*, *boyfriendi im*, *tesoro*, *love ty*, *happy*, *super*, *defiçentë*, *adio*, *lol*, *amore*, *sensibël*, *skorbut*, *solar* ecc.

Sebbene nella lingua albanese non manchino le parolacce, le offese e le bestemie, i giovani d'oggi preferiscono di usare la terminologia straniera: *sheet*, *fuck*, *va fan culo*, *coglione*, *merda*, *minchia* ecc.

Locuzioni inglesi che fanno parte della cultura tipica inglese ma che tradotti in lingua albanese si riferiscono a fenomeni accaduti in Albania: *zonja e parë* (l. *first lady*), *Miss Shqipëria*, *Velina e Fiks Fare* (l. *Velina di Striscia la Notizia*).

Un particolare genere di calchi si costituisce dagli ibridi o *loanblends* che si manifestano come formazioni dove un elemento è di origine straniera e un altro di lingua madre. Sono più frequenti e più in moda le formazioni costituite da elementi introdotti dalla lingua inglese: *megaparty*, *superçmim* (l. *superprice*), *superide* (l. *superidea*). La prestazione di tale elementi linguistici illustra la tendenza americana di esagerare con le idee, le sensazioni e l'autostima. Gli ibridi sono abbastanza frequenti anche nella lingua dei media che, copiando lo stile americano e italiano di enfasi, riescono a presentare un evento insignificante in una luce attraente e sensazionale.

La lingua albanese è un essere vivente in una continua mutazione che riflette la trasformazione della realtà. I cambiamenti linguistici sono la più perfetta manifestazione dei cambiamenti culturali. Essi riflettono non solo l'influenza americana e italiana bensì tutti i cambiamenti culturali che avvengono globalmente, se vogliamo tener conto che gran parte dei prestiti soprammenzionati sono ormai diventati termini internazionali. Sapir, l'autore del determinismo linguistico, rimarrebbe egli stesso stupefatto dalla scaltrezza dei cambiamenti linguistici dovuti dai cambiamenti culturali. Egli sostiene che il ruolo di una comunità nello sviluppo di una civiltà può essere analizzato valutando le influenze linguistiche, esaminando quali elementi linguistici sono presi in prestito da un'altra lingua o altre lingue, e che tale processo consente di trasportare nuove idee, nuovi concetti, invenzioni o costumi.

Ci si domanda spesso quale sia la ragione di una così facile penetrazione di prestiti inglesi e italiani nella lingua albanese. Ovviamente, ciò avviene grazie a una buona padronanza della lingua inglese e quella italiana fra i giovani, i giornalisti, gli specialisti in vari settori, e grazie a un approccio naturale alle nuove tecnologie e nuove culture, le quali, nel primo caso vengono dominate dall'inglese e nel secondo dall'italiano, ma la ragione principale rimane lo snobismo linguistico. I rapporti della lingua standard con i prestiti viene segnato dal fatto che la lingua standard è ricca per certi aspetti culturali ma nello stesso tempo soffre la carenza dei registri mediani. Perciò l'albanese-parlante si trova a dover integrare il lessico standard con dei prestiti che secondo lui presentano un valore dominante, stilistico o emozionale. I prestiti più comuni nella lingua albanese sono quelli storico- culturali, dove avviene che si prenda in prestito la parola assieme all'oggetto o al concetto nuovo. Pericolosi per il sistema linguistico albanese sono i calchi, in particolare quelli sintattici.

In linea di massima, l'uso di parole inglesi o italiane, qualora esse descrivono cose e fenomeni più direttamente, non costituisce un problema serio. La gente dovrebbe essere consapevole dell'indispensabilità dell'uso di una parola inglese o italiana. Ovvio, ci sono dei campi dove non si può far a meno: informatica, finanza, turismo ecc. Quindi, che ben vengano i prestiti linguistici sottoposti alla vera esigenza linguistica e alla consapevolezza dell'utente della lingua. Si tratta di un processo fisiologico. Tutte le lingue sono piene di prestiti reciproci. Ciò che conta è l'uso consapevole delle parole, il

che significa che prevale la necessità di una corretta comprensione e immediata comunicazione al purismo linguistico. Come sempre, va trovato un equilibrio e va stabilito quando l'uso di parole inglesi o italiane sia conveniente per la comprensione, la vivacità e l'emozionalità della comunicazione linguistica. Lo stato, le strutture pubbliche e le autorità competenti si devono esentare dalla voglia di produrre norme e leggi che prescrivano l'uso delle parole nella lingua.

Per tutto ciò, la lingua rimane uno strumento eccellente per registrare i cambiamenti culturali. Va subito ammesso però che i prestiti linguistici non conprovano obbligatoriamente l'esistenza dei cambiamenti in una cultura. A quanto pare, la gradualità dei fenomeni sopradescritti nonché l'unità e l'indivisibilità fra lingua e cultura può provare tale legame. L'influenza linguistica è un inevitabile risultato dei cambiamenti materiali e spirituali fra le nazioni e testimonia i contatti duraturi fra le comunità e le rispettive lingue.

### Bibliografia

- Eqrem Çabej, *Shqiptarët midis perëndimit dhe lindjes*, Çabej, Tiranë, 2006.  
Eqrem Çabej, *Studime Gjuhësore III*, Prishtinë, 1976.  
Fatmir Agalliu, Rahmi Memushaj, Mynyr Reso, *Hyrje në gjuhësi*, SHBLU, Tiranë, 1987.  
Gjovalin Shkurtaj, *Kundrime gjuhësore*, Pegi, Tiranë, 2007.  
Jani Thomai, *Leksikologjia e gjuhës shqipe*, Toena, Tiranë, 2006.  
Ledi Shamku Shkreli, *Aspetti dell'albanese odierno (rassegna degli atti del colloquio scientifico con il prof. Tullio De Mauro)*, Çabej, Tiranë, 2005.  
Shkumbin Munishi, *Konfliktet e kontakteve gjuhësore*, Prishtinë, 2010.  
Lirita Halili, Valjeta Kosumi, *Ndryshimet e gjuhës shqipe si rrjedhojë e globalizimit*, Revista AAB, n. 4, 2007.  
Veseli Nuhui, *Ndikimet ndërgjuhësore*, Rilindja, Prishtinë, 1990.

## Pro-Life Activism, Abortion and Subjectivity Before Birth: Discursive Practices and Anthropological Perspectives

**Claudia Mattalucci**

*Lecturer in Anthropology of kinship and gender  
Università di Milano-Bicocca  
Email: claudia.mattalucci@unimib.it*

---

**Abstract:** *This paper is intended as a critical examination of pro-life discursive practices. It is based on ethnographic research conducted in Lombardia (northern Italy) among a group of pro-life activists. Pro-life activism in Italy has a predominantly Catholic matrix and subjects who participated in my research mainly come from a Catholic background. However, their discursive strategies are not framed in religious terms. Although informed by ethical concerns, pro-life activists make a great use of scientific material (images and descriptions of intrauterine development) to advocate their idea of the fetus as a human being with a right to life and to prove that subjectivity precedes birth. In this paper I consider the empirical and theoretical implications of the overlapping of moral issues and scientific knowledge. On one hand, pro-life activists emphasize the similarities between the fetus and the newborn child; they also attribute the unborn some of the characteristics of the Western-informed notion of person: individuality, autonomy, the ability to communicate and interact, and some form of consciousness. I argue that the definition of fetus as person relies on a teleology of vital processes that presupposes a specific moral order. On the other hand, pro-life discursive practices allow to reconsider the uses of the Western idea of the person at the margins of human life and to articulate a critical approach to the biologization of the abortion debate.*

---

### Introduction

In September 2010, while a bill on informed consent and advance directive for treatment (more commonly known as living will) laid before the Chamber of Deputies, I met with Fabio,<sup>1</sup> a 23 year old student from the Catholic University of Milan. On that occasion Fabio, an active member of the Pro-life movement at his university and in his hometown, told me:

In the past few years there have been several cases (like the Terry Schiavo case or the Piergiorgio Welby case<sup>2</sup>) that have been exploited to talk about biopolitics and biolaw. The fields of bioethics and biotechnologies have been tied to the field of politics and law to pretend to find answers to practical issues. However, to expect the legislator to meet all practical needs is an illusion. We cannot expect to find the solution to every matter with the help of legislative outlines that indicate when to pull the plug or the extent to experiment on embryos, that is to say when a person is human, no longer human or not yet human. Biopolitics should not fade into biolaw but it should give itself broader objectives, and think of policies to protect life. Biopolitics should be a form of politics that defends life and protects the weaker subjects: the conceived infant, the disabled person, the terminally ill patient. Unfortunately it seems to me that these are not the priorities of politics nowadays.

This essay presents and critically examines the argumentation put forward by the Italian Pro-life movement and the claim that since conception embryos are human beings entitled to the right to life. It is based on ethnographic fieldwork carried

---

<sup>1</sup> I have used pseudonyms to maintain my informants' anonymity.

<sup>2</sup> The Terry Schiavo case was a legal battle involving prolonged life support in the United States. After a cardiac arrest, Terry Schiavo was diagnosed by doctors as being in a persistent vegetative state. In 1998, her husband petitioned the Sixth Circuit Court of Florida to remove her feeding tube, with favorable outcome. However, the prolonged series of legal appeals presented by her parents and by state and federal legislative intervention effected a seven-year delay before life support was terminated. Piergiorgio Welby was an Italian man diagnosed with a severe form of muscular dystrophy. Following a tracheotomy he suffered a respiratory insufficiency that left him unable to breathe normally. He depended on mechanical ventilation and artificial feeding. In 2006 he publicly declared his wish to interrupt treatment. In the absence of specific law on the matter, his request was rejected. He was later assisted to end his own life. His doctor was accused then acquitted of charge of homicide of a consenting person.

out in Lombardia between early 2009 and late 2010.<sup>3</sup> Here, just as in the rest of Italy, the Pro-life movement was born in the mid-seventies to prevent the legalization of abortion.<sup>4</sup> By then its objectives have changed as a consequence of social transformations and as a result of innovations in the field of biotechnologies. Today, the cultural and political activity of its members covers a wide range of issues ranging from medically assisted procreation to living will; the “protection of the conceived and the unborn child” remains a major priority on their agenda.

The Pro-life movement declares itself to be nondenominational.<sup>5</sup> The activists I have met during my research, however, are all committed Catholics.<sup>6</sup> As believers, they consider life to be a gift from God. They also believe that since conception a woman carries in her womb an ensouled human being whose soul separates from the body at the moment of death. To them, fetuses are persons in the Christian sense of the term and abortion is a “murder” legitimized by State law. However, the explicit pedagogy of the Pro-life movement does not appeal to arguments that are based on faith alone. Pro-life militants in Italy, like elsewhere in the West, make a great use of medical and scientific lexicon and technological images (Petchesky 1987; Franklin 1991; Newman 1996; Morgan 1997; Palmer 2009). These images portray fetuses as human beings separated from the maternal body. The display of photographic sequences that show the embryo and the fetus at different stages of their development underscores the teleology of life before birth. The accompanying text lays a moral discourse upon the scientific description, one that highlights the similarities between fetuses and newborns and attributes the former some of the characteristics of Western personhood: individuality, autonomy, the ability to communicate and to relate with others, sensitivity and some form of consciousness. The identification of such “qualities”, that may vary in degree over the course of the nine months of pregnancy but are nonetheless present since conception, together with the avoidance of any reference to the spiritual aspect of human beings, reduces the distinctive features of the person to a set of biological attributes. I conclude my argument with a reflection on the consequences of the projection of the notion of person as individual at the margins of human life.

### **“Lives” of soul and body**

I have mentioned in the introduction that all Pro-life activists I have met over the course of my research are Catholic. Faith is part of their inner motivation to engage in activism. Nevertheless, references to religion are quite rare at conferences and events organized by the Pro-life movement and are not mentioned on the illustrative brochures and DVD that it circulates. The cultural initiatives against abortion mainly make use of representations of the fetus in the womb while images of abortions are less recurring.<sup>7</sup> It is a widespread idea among activists that the images of the development of life in the womb prove that fetuses are human beings since conception and that, as a consequence, abortion is a form of murder. “Facts”, “scientific evidence” and images, unlike religious arguments, speak to everyone. According to Pro-life activists, those in favor of abortion perceive the fetus as a “clump of cells”. To eradicate what they consider a false belief, Pro-life activists, engage in a form of cultural action that is directed to provide information about the “wonder” of prenatal development and to sensitize the public to the violence of abortion. Their public discourses do not address issues that are strictly linked to Catholic religion, such as the sanctity of life, ensoulment<sup>8</sup> and the destiny of aborted fetuses. Some of these topics have surfaced during the course of my conversations with activists and people that gravitate around the Pro-life movement but were never openly discussed. These are teleological and complex issues and according to my informants their relevance is secondary to the objectives of the Pro-life movement. My questions did raise convergent

<sup>3</sup> I have conducted interviews with several members of the Pro-life movement, with members of the Movit (the university branch of the movement), and with several operators of the Life Help Centers (Centri di Aiuto alla Vita – C.A.V) who provide social and financial help to women who deal with undesired pregnancies. I have also attended to cultural events organized by the Pro-life movement. Furthermore, this article is based on illustrative materials produced by the movement itself. It is a part of a larger research project about the representations, the politics and the experiences of abortion in Italy.

<sup>4</sup> The voluntary termination of pregnancy is governed by law 194 of 1978. On the history of abortion in Italy, see Sciré (2006).

<sup>5</sup> See the statute of the Italian Pro-life movement at

[http://www.mpv.org/pls/mpv/v3\\_s2ew\\_consultazione.mostra\\_pagina?rifi=quest&rifp=quest&id\\_pagina=30](http://www.mpv.org/pls/mpv/v3_s2ew_consultazione.mostra_pagina?rifi=quest&rifp=quest&id_pagina=30).

<sup>6</sup> By committed Catholics I mean subjects who are active in parish churches or in Catholic groups or associations. To most of them, their involvement with the Pro-life movement is only part of their faith-oriented social commitment.

<sup>7</sup> In other countries pro-life campaigns make a more frequent use of images of abortions or abortive remains where body parts are clearly identifiable. See Petchesky (1987) and Mason (1999) for the United States; Franklin (1991) and Hopkins, Zeedyk and Reitt (2005) for the United Kingdom.

<sup>8</sup> According to Catholic teleology, the term “ensoulment” designates the moment the transcendental principle informs the material body, thus attributing the new living being the distinctive ontological quality of humanity.

perspectives but also specific and sometimes unique points of view; theses reflected the background of my informants, their personal history and their subjective interpretation of the “mystery” of human life, rather than a normative discourse. The term *vita* has multiple meanings in the Italian language. It indicates the state of natural activity of any living organism; the lifetime of any individual; it is a synonym of human being, health, vitality etc. Within the context of the Pro-life movement “life” is above all a synonym of “human being”. The fetus (like the terminally ill) is the emblem of life and is intended as a “human being”: although invisible and fragile, its existence carries within itself the sacredness that distinguishes a human being and is associated with it. According to Catholics, every person is sacred because it is the fruit of divine action. My informants often described life as a gift:

We did not give life to ourselves, we did not choose life, we received it. Couples who cannot have children suffer enormously because life is a gift. This is not a religious experience. It is a lay experience. If life is a gift, we can't help but welcome it.<sup>9</sup>

A Catholic understands immediately the value of life because he knows that God is above men, and created all things. A Catholic knows that there is a natural law, that there is a meaning behind everything and that men cannot behave as they please or better yet dispose of life as they wish. God creates life and life has an immense value.<sup>10</sup>

According to my informants every living being received the gift of life from God. However life is equally a gift for those who welcome it and care for it. Those who receive “life” (understood here as existence and relation) cannot reject this immensely precious gift from God. Such gift, however, is never definitive and life – because of its intrinsic nature and intimate relation with its donor – shall ultimately return to God.

Nowadays the body of the unborn is visible thanks to technology; this visibility represents a key element in the communicative strategy of the Pro-life movement, as we shall see below. Believers think that the body of the unborn is imbued with a soul. Over the course of history, the moment of ensoulment has been the subject of two main speculations. The first, systematized by Thomas of Aquin and predominant until the XVII century, posits that the soul is infused into the body around the third or fourth month of pregnancy, that is once the body itself is sufficiently formed to develop the potentialities of the soul. Before this moment, a voluntary termination of pregnancy is considered as an unjust act because it interferes with God's plan but it's not considered as the killing of a human being. The second speculation became prevailing in the modern period and is still predominant to the present day: claims that animation takes place at conception:<sup>11</sup>

The theory of Thomas of Aquin ignored some of the knowledge in our possession today. God created nature and every living being. Because one exists, one is ensouled. Today we know that since fecundation the DNA remains the same. The embryo is very vital, it multiplies, it creates, and this is astonishing. It would not be so creative if it were just simple material.

The body is a means through which the soul manifests itself: according to Anna, a 38 year old woman with a college degree and a master in bioethics, before birth the vitality of the organism reflects its presence. While there is general consensus among pro-life activists about the fact that the spiritual principle of men is present since “the very first sparkle of life”, little is said about the infusion of the soul into the flesh. Elisabetta, a family counselor working at a Life Help Center in Milan, seemed willing to discuss this issue more openly than other informants. Her biographical trajectory and professional activity contributed to forge an original interpretation of the souls of unborn children:

So, let's say I am God. I take a little piece of my essence and this piece turns into a dove: this is the soul. Let's imagine it as a dove because it makes things easier. This dove chooses where to incarnate, because God allows it to do so. Before becoming incarnated, each soul already knows what the odds of

<sup>9</sup> Angela is 76 years old and has been a member of the Pro-life movement in Milan since it was established.

<sup>10</sup> Gianluca is 23 years old and is completing his master degree. He is a member of Movit.

<sup>11</sup> Betta (2006) shows how during the XIX century, while medicine was rapidly acquiring the monopoly over birth, the Church began to have a more defined point of view about ensoulment.

coming into the world are, whether the mother intends to terminate the pregnancy or not. [...]. Once doves choose their mothers and fathers from high above, they are able to see their essence, and if there is something in particular that they like. Besides this spiritual perception, doves also know whether mother and father are married or not, and how many children they have already, if it is the first, fourth or fifth child. When they choose their parents they are well aware of everything, when they are pure soul they see everything, just like when one dies: it is the flesh that obfuscates the soul.

The above quote suggests that incarnation obtenebrates the soul but that is equally a condition of individualization and salvation. Everyone's soul comes from God: it is originally part of God's essence, and God is where every soul shall return after death.

The destiny of the souls of "unborn children" is among the topics of conversation I had anticipated to discuss with Catholic activists. This is a complicated issue, and one that was never fully resolved: a few years ago, it has been the object of a debate among members of an international theological committee assembled by Pope John Paul II. Traditionally, it was a common opinion in the Catholic world that the souls of the unbaptized who die would enter the Limbo where, although they would not enjoy the vision of God, they were not punished. The idea of the Limbo and the mitigation of the rigid alternative between salvation and damnation, progressively lost ground. For instance, it is not mentioned in the catechism of the Catholic Church (1992), where it is stated that the unbaptized who died in infancy should rely on God's mercy, whose intent is to save all mankind.<sup>12</sup> The 2007 document of the international committee gathered by the Pope affirms that the Bible does not contain any specific precept on the subject. The text does not altogether dismiss the idea of the Limbo, and renews the "hope" that unbaptized infants who died "be saved and enter eternal beatitude".<sup>13</sup>

Most of the activists I talked to agree that the souls of aborted fetuses go to Heaven:

Every last Friday of the month, the volunteers of our C.A.V organize a funeral for aborted children. They take them from the hospital to the cemetery and celebrate a small ceremony. These children are innocent victims and when they die, they go to Heaven.<sup>14</sup>

I believe God takes back all unborn children. Abortion is an injury to humanity. Unborn children have no fault of their own. They go straight to Heaven. To pray for them is a personal choice. I don't think it should be one of the objectives of the Pro-life movement, by its nature nondenominational.<sup>15</sup>

I don't worry too much about the souls of aborted children. God is merciful, and it is merciful to those who have abortions as well, because He sees their struggle. The problem is that abortion concerns not only individuals, but society as a whole; it is society as a whole that is ill, and of course we ourselves are society.<sup>16</sup>

In Lombardia the burial of abortive remains is authorized under cemetery ground.<sup>17</sup> There are associations (the main one is called "To defend life with Mary") that have entered agreement with hospitals to bury such remains. There are also prayer groups scattered all over the territory: these meet on a more or less regular basis to pray for the souls of unborn children. I have met with members of the Pro-life movement who have joined such initiatives in a private capacity or, as the first quote says, as members of a Life Help Center. These activities, the inherent expression of a certain Catholic culture, are presented as separated from the objectives of the Pro-life movement. Indeed, the movement continues to claim to be nondenominational and its aims are presented as mundane, as it is inferred in the second quotation here above presented.

<sup>12</sup> [http://www.vatican.va/archive/ITA0014/\\_P3L.HTM#9K](http://www.vatican.va/archive/ITA0014/_P3L.HTM#9K)

<sup>13</sup> [http://www.vatican.va/roman\\_curia/congregations/cfaith/cti\\_documents/rc\\_con\\_cfaith\\_doc\\_20070419\\_un-baptised-infants\\_it.html](http://www.vatican.va/roman_curia/congregations/cfaith/cti_documents/rc_con_cfaith_doc_20070419_un-baptised-infants_it.html)

<sup>14</sup> Valeria is 32 years old and volunteers at the C.A.V in Varese.

<sup>15</sup> Marco is 37 years old and has a college degree; he is a member of the Pro-life movement in Milan.

<sup>16</sup> Valentina is 37 years old and holds a high-school diploma; she's a member of the Pro-life movement in Milan.

<sup>17</sup> Regional regulations, 6<sup>th</sup> February 2007.

## The public discourse of the Pro-life movement: what “science” teaches

Although my informants share the conception of personhood that is typical of the Catholic anthropology and although they apply such notion to all life stages, from conception to natural death, they tend to avoid reference to religion to advocate the unborn right to life; rather, they employ what they consider to be “scientific” arguments. While I long tried to investigate the transcendental premises of the social and political battles fought by the Pro-life movement, my informants invited me to focus on the “facts” and to assume an “objective” point of view in order to fully understand the reason why embryos are indeed persons.

This section introduces the public discourses of the Pro-life movement and relies on conversations with existing members as well as on illustrative material that circulates at Pro-life gatherings and events.

In September 2009, the local branch of the Pro-life movement in Varese, northern Italy, organized an exhibition called *Un grande sì alla vita. 28 quadri di bioetica* (A big yes to life. 28 bioethics posters), that was intended as an itinerary exhibition, to be presented at other local branches upon request. One of the panels described the beginning of life as follows:

The fusion of gametes, sperm and oocyte is an irreversible process that marks the beginning of a new living being: the zygote, or unicellular embryo. A few seconds after the fusion of gametes, the zygote is traversed by a calcium wave, and this activates a new system: it is the human subject who begins to self-construct. The formation of a new living being determines a qualitative shift at a biological and ontological level, one that continues until the end of its vital cycle.

According to the authors zygote, morula, blastula, embryo, fetus and infant are “all names for the same human being”: they are scientific terms that describe the process of biological development. As highlighted by the quote, such process presents no ontological discontinuity, except at an initial stage, when the beginning of a new life is set in motion: conception originates a new autonomous subject. The acknowledgment and individuation of the autonomy of the unborn translates into the recognition of its dignity as a person. For instance, Anna, the 38 year old woman whose words I previously quoted, maintains that:

Everyone agrees that there is where a human being originates. Even those with more extreme points of view have no doubt about. The question is whether we can call that human being a person or not... We think [...] that a person originates at conception, because there is a new entity, a new individual, because there is autonomy. There is a DNA that differs from the DNA of parents [...]. Autonomy means that the embryo is the master of its own development. The whole development, the whole thing: when it reaches the uterus, the placenta, the fact that the mother doesn't eliminate it even though it has a different DNA and usually our body eliminates foreign bodies. How does a woman's body not eliminate that foreign body? It is because there is immediate communication. Early at the beginning of life [the conceptus] communicates with the woman. Of course, it's a chemical form of communication: he says, look this is me, I am different but this is me, I'm your child [...] And then the tubes soften etc. [...] If all of this happens and a new human being originates, who can actually say if it is person or not? What are the criteria to define what a person is? And who sets these criteria? You need solid basics, and I think you might just find that by looking at the very beginning of life. Everyone agrees that there is where life starts. The most respectful thing [...] is to recognize that if there are solid facts and if that's where the human being originates, then one cannot take away its dignity as a person.

As it is suggested by the quote, the recognition of the unborn as a person is based on the individuation of characteristics and abilities: its individuality, the fact that it is genetically distinguished from the father and the mother; its autonomy, its being the master of its own development; its ability to communicate (which is chemical, at the beginning at least).

According to Pro-life activists, another quality that determines the recognition of the unborn as a person is its inherent completeness. Images of intrauterine development serve as substantial “proof” that the body of the unborn is identical to the body of a new-born child and to the body of the adult that it will shape up to be.

*La vita umana: prima meraviglia!* (Human life: the first wonder!) is a study aid that was realized by the Italian Pro-life movement and made available on DVD and booklet. Over four million booklets were printed and distributed for free at rallies and events. With the financial help of the Lombardy region, about 25.000 copies were sent via mail to families in Milan in order “for parents to have it at home and look through it with their children” and to have a “scientific text that is



simple and illustrated, written in a simple language and full of appealing pictures, one that does not mention abortion but the growth of the child in the maternal womb”, as the promoter of the initiative suggested.<sup>18</sup> All illustrative pictures were taken by Lennart Nilsson, an internationally known photographer, whose pictures have been widely used by pro-life activists worldwide. First published on *Life* magazine in 1965, these pictures represented the unborn as an independent subject, separated from the maternal body (Newman 1996; Michaels 1999). What is presented as a scientific text, then, accompanies these pictures. As the following examples show, these scientific descriptions convey a moral discourse that emphasizes the presence of the physiological and morphological features of every human being in the embryo and then in the fetus; such moral discourse further attributes the fetus the qualities, relations and abilities of a newborn child:

Let us enjoy a close up of this small human being that has been living in the maternal breast for a month now! Curled up like a ball it looks like boxer, full of hard-bitten vitality. The heartbeat of this small being can be spotted on the electrocardiogram already (V.U: 19).

Here's our child at six weeks of age. The head seems to capture our full attention, and it will be the most flashy and touchy part of his tiny body for a long time. It is extraordinary “central”, where all sparkle of intelligence that will one day illuminate the world is contained: tomorrow's ideas are here already, in these soft cerebral loops that send a message thrit own; one can record their activity in an electroencephalogram by now (V.U: 20)

Look at it at three months of age, isn't it... incredible?! Its features are becoming more and more definite. The lips open and close, the forehead wrinkles and the area around eyebrows moves, and the head turns around: the baby is becoming more expressive and is beginning to make up a language to communicate once it's born: this language is still mute, yet effective (V.U: 23).

Nilsson's pictures display miniature bodies. The text enable the viewer to see that these bodies show all the body parts and functions that will be fully visible at a later stage in the life of a person. Humanity and the completeness of the body are equally emphasized through the description of gestures of different stages of the life to come: facial expressions anticipate future expressive possibilities and the hands of the unborn “throw punches as a sign of protest against something that is bothering him”; these are all proof of precocious interactive abilities during pregnancy (V.U: 24). The embryo and the fetus are called “children”, “little human beings”, “and sons”. The stress is on what the fetus is going to become, on its genetic development and his potentials as a person. The teleology of vital processes renders the embryo a human being with a whole life ahead of itself, a life whose path is blazed at the moment of conception (Franklin 1991: 197).

According to the rhetoric of Pro-life, relational competence and sensitivity are equally important features in the recognition of the unborn as a person. These are also thought to be present since the moment of conception, and to further develop during pregnancy:

In the past we used to think that the baby [in the womb] was some kind of undifferentiated being, a tabula rasa, with a body and no soul [...] – a doctor active in the Pro-life movement maintained at a conference in Brescia in 2009.<sup>19</sup> Now we know that before birth the baby is an active being, rich, competent, and capable of movement, of exploring the environment; an intelligent human being, capable of emotions.

The idea that the fetus is a sensitive being and is somehow conscious is widespread among Pro-life activists. The Italian movement translated and circulated a documentary that was released in the United States during the 1980s under the title “The silent scream”. Copies are also sold at events and gatherings. This documentary shows the abortion of a 12-week fetus<sup>20</sup> and has been the subject of numerous studies. Rosalind Petchesky (1987) has underscored how the medical frame of reference (the narrator is a doctor, fetology studies are quoted and anatomical models, medical

<sup>18</sup> Paola is 73 and has been a member of the Pro-life movement in Milan since it was established.

<sup>19</sup> Giovanni is 65 years old; he's a member of the Pro-life movement and an active member of a C.A.V.

<sup>20</sup> In Italy, abortion is legal in the first 12 weeks.

instruments and ultrasound scans are shown throughout the documentary) is used to promote a dramatic anti-abortion rhetoric. The doctor's voice translates the silent gestures and movements of the fetus that are visible through ultrasound scans:

The child is moving quietly in its sanctuary. As the suction tip move toward the child, the child rear away from it and undergoes much more violent, much more agitated movements [...] Here we sees the child's mouth wide open in a silent scream. This is the silent scream of a child threatened imminently with extinction. [...] The child's movements are violent at this point. He does sense aggression in his sanctuary. He's moving away in a pathetic attempt to escape the inexorable instrument that the abortionist is using to extinguish his life.

The documentary suggests that the fetus is aware of what happens during an abortion: it has feelings, fears; it suffers and shouts.<sup>21</sup> Carlotta is a university student and a member of the youth section of the Pro-life movement. She watched the documentary for the first time when she was still a student in high-school:

If you face the reality of it and watch that movie, what can you say? That that is not a baby? That the baby doesn't suffer? You don't need to be a rocket scientist to understand the documentary. You just need to pay close attention to the reality of things and not to your interpretation of it.

According to Pro-life activists, the qualities that make the fetus a person are easily detectable. It only takes to "pay close attention to the reality of things", which is ironically possible only through fiction. In their opinion it is the right and a duty for citizens to be exposed and be acquainted with such "facts" so that they can form their own opinion on the morality of abortion.<sup>22</sup>

### **Subjectivity before birth**

Let us go back to biopolitics. According to Michel Foucault (1976; 1994) in the "biological modernity" the individual – the mere living being – and the species are the fundamental stakes of political strategies. "What comes out is a progressive bestialization of man through extremely refined political techniques" and "the possibility to protect life and to authorize a holocaust" (1994: 719). Consistent with Foucault's reflection on the politicization of life as a key component of modernity, Giorgio Agamben (1995; 1996) underscored how human life is essentially a "form of life", "a life that can never be separated from its form." Each form of life "is never prescribed by a biological vocation, nor is it assigned by whatever necessity [...] it always retains the character of possibility" (1996: 13-14). On the contrary, the bare life, the subject of biopolitics, is mere material support, a biological substratum. As it emerges from the opening quote of this article, members and activists of the Pro-life movement are critical towards modern biopolitics, its claim to govern life by establishing the limits and the quality of what a human life is. From their point of view every life is human – from birth to death – and must be protected. All vital processes possess an inherent teleology and a transcendental normativity: the DNA of every living being is the distinctive feature of a life that is imbued with sense because it is given by God.<sup>23</sup>

I have shown how activists attribute the unborn the dignity of the person and argue that since conception the living being possesses some of the characteristics of the subject-individual. In a cultural and social context that activists feel is hostile to the Catholic faith, they do not make reference to the Creator or to the incarnation of soul at conception in their public discourses. Instead, they make use of "scientific" knowledge and images because, according to them, they facilitate the recognition of the distinctive characteristics of a human being and the identification of the embryo or the fetus as "one of us".

The construction of subjectivity before birth advocated by the Italian Pro-life movement and by similar right-to-life

<sup>21</sup> Following the release of the documentary in the United States, doctors, columnists of the New York Times and representatives of the Planned Parenthood Federation of America reacted and argued that a 12 week fetus has no cerebral cortex and cannot therefore feel pain; with no air in the lungs the fetus cannot scream; furthermore, any movement of the fetus is a reflex movement and has no aim (Petchesky 1987: 60-61). On fetal pain see Lee, Ralston, Drey, Partridge & Rosen (2005).

<sup>22</sup> For a critique on the citizen-spectator in the abortion debate see Berlant (1994) and Palmer (2009).

<sup>23</sup> Boltanski talked about "an arrangement with the creator" with reference to the monist visions of humanity where all human beings are recognized as sons of God.

groups around the world has been the subject of numerous critiques. These have underlined how right to life advocates attribute the representation of the fetus as an individual is widespread in the European and American culture (Strathern 1992). Embryology and fetology, to which activists made great reference, present the embryo and the fetus as active partners during pregnancy (Franklin 1991). The representation of the unborn as an individual is also the consequence of ultrasound scan images and photographs that separate the "double body" of pregnant women, by isolating the fetus and excluding the woman (Duden 1993; Tyler 2000). Nowadays, legal debates about abortion make great use of bio-medical notions such as sensitivity, fetal pain and viability to circumscribe the rights of the unborn (Heriot 1996; Palmer 2009). These social and cultural processes tend to hide that "personhood is not a property that individuals – or fetuses – possess prior to their entrance into social life and relations, nor is it an attribute that can be discovered with the accumulation of greater scientific knowledge or with the development of more advanced techniques. Who or what is called a person is, among other things, a highly contingent historical formation; it is both the site and the source of ever-changing cultural contexts and always under construction as a self-evident fact of nature" (Hartouni 1999: 300).

In the light of these analyses, the biologization of the abortion the debate is the clear effect of the influence exercised by biomedicine and technology and their attempt to govern life. The specificity of the rhetoric of the Pro-life movement, then, does not lie in the projection of the attributes of the person onto the unborn, but in the assumption that such attributes are the basis for an abstract and universal recognition, irrespective of the peculiarities of every "life". The Pro-life movement fights to assert the right to life of the unborn in its essence, regardless of the choices and the relations that influence its coming into the world. Although firmly positioned against State bio-politics that legitimize abortion, the Pro-life movement finds himself caught within the biological modernity that privileges the biological over the relational, social and affective aspects of personhood and subjectivity. The analysis of its discursive practices paves the way to a reconsideration of the uses of the Western idea of person at the margins of human life and to the articulation of a critical approach to the biologization of the debate on abortion, one that, as my conclusions can only suggest, takes into account the distinction between "life" and "forms of life".

## References

- Agamben G. 1995, *Homo sacer. Il potere sovrano e la nuda vita*. Torino: Einaudi.
- Agamben G. 1996, *Mezzi senza fine. Note sulla politica*. Torino: Einaudi.
- Berlant L., 1994, "America, 'Fat', the Fetus". *Boundary 2* 21(3): 145-95.
- Betta E. 2006, *Animare la vita. Disciplina della nascita tra medicina e morale nell'Ottocento*. Bologna: Il Mulino.
- Duden B. 1993, *Disembodying women. Perspectives on pregnancy and the Unborn*. Cambridge, MA: Harvard University Press.
- Boltanski L. 2004, *La condition foetale. Une sociologie de l'avortement et de l'engendrement*. Paris: Gallimard.
- Foucault M. 1976, *La volonté de savoir*. Paris: Gallimard.
- Foucault M. 1994, *Bisogna difendere la società. Corso al Collège de France 1975-1976*. Milano: Feltrinelli.
- Franklin S. 1991, "Fetal Fascination: New Dimensions of the Medical Scientific Construction of Fetal Personhood", in S. Franklin, C. Lury e J. Stacey, *Off-Center: Feminism and Cultural Studies*. London: Harper Collins: 109-205.
- Hartouni V. 1999, "Reflection on Abortion Politics and the Practices Called Persons", in L. Morgan & M. Michaels, *Fetal Subjects, Feminist Positions*. Philadelphia: Univ. Pennsylvania Press: 296-303.
- Heriot M. J. 1996, "Fetal Rights versus the Female Body: Contested Domains". *Medical Anthropology Quarterly* 10(2): 176-194.
- Hopkins N., zeedyk S. & RAITT F. 2005, "Visualising abortion: emotion discourse and fetal imagery in a contemporary abortion debate". *Social Sciences & Medicine* 61: 393-403.
- Lee S. J., Ralston H. J. P., Drey E. A., Partridge J. C. & Rosen M. A., 2005, "Fetal Pain. A Systematic Multidisciplinary Review of the Evidence". *JAMA* 294(8): 947-954.
- Mason C. 1999, "Minority Unborn", in L. M. Morgan & M. W. Michaels, *Fetal Subjects, Feminist Positions*. Philadelphia: University of Pennsylvania Press: 159-174.
- Michaels M. W. 1999, "Fetal Galaxies. Some Questions about What We See", in L. M. Morgan & M. W. Michaels, *Fetal Subjects, Feminist Positions*. Philadelphia: University of Pennsylvania Press: 113-132.
- Newman K. 1996, *Fetal Positions, Individualism, Science, Visuality*. Stanford: Stanford University Press.
- Palmer J. 2009, "Seeing and knowing: Ultrasound images in contemporary abortion debate". *Feminist Theory* 10: 173-189.
- Petchesky R. P., 1987, "Foetal Images: the Power of Visual Culture in the Politics of Reproduction", in M. Stanworth (ed.), *Reproductive Technologies: Gender, Motherhood and Medicine*. Cambridge: Polity Press: 57-80.
- Sciré G. 2008, *L'aborto in Italia. Storia di una legge*. Milano: Bruno Mondadori.
- Strathern M. 1992, *After Nature. English Kinship in the Late Twentieths Century*. Cambridge: Cambridge University Press.
- Tyler I. 2000, "Reframing Pregnant Embodiment" in S. Ahmed, J. Kilby, C. Lury, M. Mcneil & B. Skeggs (eds.) *Transformations: Thinking Through Feminism*. London: Routledge: 288-301.

## Games in Foreign Language Classroom

**Biljana Milatović**

Assistant Professor of Applied Linguistics  
Faculty of Philosophy, University of Montenegro  
Email: biljanamilatovic@gmail.com

---

**Abstract:** *The aim of this paper is to point out some of the advantages of using games as accompanying elements of every foreign language class. Games should be the integral part, be specific with respect to various aspects of learning, be directed to the creation of the linguistic and communicative competence, should take into account the representation of all skills in the usage of language. Games make all tasks relaxed and quite easy, make students feel lively and vivacious, what is more than welcome, especially with young learners. They also create fantastic conditions and positive clamour what induce everyone to take part in and try to win.*

**Key words:** *games, language games, foreign language learning, classroom*

---

"Do not train children to learning by force and harshness, but direct them to it by what amuses their minds, so that you may be better able to discover with accuracy the peculiar bent of the genius of each."  
Plato (BC 427 – 347)

### 1. Introduction

Games can be classified as cooperative, solitaire or competitive. Gibb (1978) defines game as 'an activity carried out by cooperating or competing decision makers, seeking to achieve, within a set of rules, their objectives'. When playing language games, students have fun at the same time as they practise English enjoyably. Games bring fun and energy into a classroom with the focus on learning. Greenal (1984) defines game as one kind of 'activity which is used to consolidate language already taught or acquired and occurs during the free stage of lesson or during occasions such as English club meeting...'

Traditionally, games have been used in the language class as warm-ups at the beginning of class, fill-ins when there is extra time near the end of class, or as an occasional bit of spice stirred into the curriculum to add variety. All these are fine, but games can also constitute a more substantial part of language courses (Lee, 1979; Rixon, 1981). But, teachers can use games for communicative language production, for practicing specific language skills and as a way to revise previously taught language. Precisely games are fun with a purpose, games provide feedback to the learner and to the teacher, games motivate, games improve teamwork, games encourage students to interact and communicate, games create a less threatening learning environment, games bring real-world information, games allow teachers add variety and flexibility to their teaching menus.

### 2. Game and its use in the foreign language classroom

The primary school is the principal place for the beginning of a successful learning. It is the place where students face the fact that they are to be hard-working and as good as possible. They are to learn a lot and try to succeed in everything. However, there is a lot of students that sometimes do not know how to react, they feel some kind of fear of possible failure, they do not have enough will and have to be forced to do even their simple tasks. Starting learning English at the earliest age, in the primary school, has its own benefits. First of all, it can prolong the contact with the language and make students learn it more successfully. At the earliest age, students are very capable of acquiring the new language more easily and without being fully aware of it. I think, that young learners do it with a less stress, they seem to be rather relaxed and can do it quite easily, unlike adults who usually learn the foreign language rather than acquire it. Games can bring in something new in our classroom, especially concerning EFL (English Foreign Language) teaching. Mere idea about learning a foreign language can make students feel very nervous, almost upset and games are to break any kind of

assumption that they would never succeed or give their best. So, one of the most important approach but also one of the most appropriate ways to convey certain information and make students eager and ardent to learn is through games. Also, games provide an environment that transforms the passive student into an active part of the learning process. A lot of students in primary school (especially younger ones) do not find foreign language learning as main stimulating factor, so a game can be a motivational one there. There are many benefits of using games in the EFL classroom. Games motivate and encourage both teachers and students. It means that in a relaxed atmosphere students play game with their class peers according to a set of rules and, although they are not fully aware of it, they learn a lot. They are in constant mutual touch with their surroundings, they contact and reveal. Teachers should behave as a walking source of knowledge, a positive controller and a guide. In simple words, when students make noise or make the class mere mess, teacher is there to provide an adequate situation for continuing game. Also, when they give false answer and the question is connected to the previously learnt material, teacher is there to explain it again (concisely if it is possible) and then revise it if it is necessary and there is enough time. Of course, teacher must try to make reserved and taciturn students participate.

Games have a huge educational value. W.R. Lee holds that 'most language games make learners use the language instead of thinking about learning correct forms' and that 'games should be treated as central not peripheral to the foreign language programme (Lee, 1979: 2).

Almost the same opinion expresses Richard-Amato who says 'games can lower anxiety thus making the acquisition of input more likely. They add diversion to the regular classroom activities, break the ice, but also, they are used to introduce new ideas' (Richard-Amato, 1988: 47). Also, Millis (2005) outlines a number of advantages of games, such as appropriate anxiety levels and more constructive feedback.

They are learner-centered activities and every game should be organised in a way that everyone in the class has his/her own role. Every student should have a chance to express his/her own opinion, to try, to participate, to be involved in the process of the learning foreign language. 'Games... help the teacher to create contexts in which the language is useful and meaningful. The learners want to take part and in order to do so must understand what others are saying or have written, and they must speak or write in order to express their own point of view or give information' (Wright, Betteridge & Buckby, 2005: 1). Teacher has to create such conditions so that students can feel free to ask whatever they want, to answer, to communicate, to enjoy. False answer or wrong step towards the certain goal must not mean ending up with the game, just opposite to it. It has to be an impel to the progress and success. Games benefit students in a variety of ways and they can be easily adjusted for age, level and interest and requires not too much time for preparation. Through playing games, general students' knowledge can be extended, creative use of language can be encouraged. It is satisfying to see the whole class participate, want to win, and among all see them enthusiastic and eager to learn.

### 3. When and how to use game

Games can be used differently in the language classroom. Games can be used at the very start of the lesson class, in the middle of it or at the end. Appropriate moment for the game is whatever part of the class which will provide students a mere fun within the mere learning. So it is the teacher's decision when to start with game. Rixon (1981) agrees that games can be used at all stages of the lesson, provided that they are suitable and carefully chosen. This is acceptable, of course, a game has to be more essential part of the foreign language learning process. Games have to be used as adequate activities for practising specific language items, skills and their communicative abilities, and their focus must be on revising and recycling the previously learnt material but also on acquiring and practising the new one.

Students like to play language games. But, sometimes, it happens that a game is not well-prepared and it is not appropriate for certain age and knowledge level. Such kind of the activity can bring only a failure and a lot of objections. Students would have been disappointed if they had ever had to play a game which was not interesting and appropriate for their level. So, a successful game requires thorough preparation. It means that teacher must clearly understand all rules which he/she'll present to the students adequately. He/she has to have a plan that will direct the whole activity. The organisation of the game must be prepared and the teacher needs to think of a pair, group or general class work. He/she has to have other options if game seems not to go according to. Teacher must be ready to quit the game when it is necessary. In the game everyone has to have active roles. I think that small classes are more suitable for playing games because it is easier to pay attention to everyone and give them their tasks. But there is also situation when teacher meets large class (more than 25 students) and has to deal with it. Perhaps it could be easier to divide it in two parts and while the first one plays the game, the second one behaves as an audience and supports their friends. Instead of dividing them teacher can choose the game which demands individual participation or large groups, too. Every student has to

understand how to play the game exactly. For younger learners, few sentences in their native language can make the situation clear. The older ones demand clear explanation and direction and, only if it is really necessary, teacher can say it in their mother tongue or demonstrate it by trial examples. Rules are rules and no one is there to break them. Also, if the game is played in groups, each team must be consisted of equal number of students. Every group shall contain equal number of students that are on the higher knowledge level. It will not be challenging and entertaining if the teacher groups the best students into one team. Some methodologists recommend that teacher should set up permanent teams so he/she does not have to name new teams each time. In my opinion this could have its advantages but making new teams each time lead us to diversity and feeling of surprise and unpredictability, what is another charm of game. While choosing a game teacher will think about students' abilities, interests and age. As game is a kind of the activity that includes competition and thus make someone winner and someone loser, it is useful and practical to reward winners.

According to Howard Gardner there are eight distinct intelligences that exist in our students. Those are 'linguistic, logical-mathematical, spatial, bodily-kinaesthetic, musical, interpersonal, intrapersonal and naturalist' (Gardner, 1999: 91). Different activities are suitable for different intelligences. Those learners with linguistic intelligence, for example, enjoy activities that include reading, speaking or writing and those with musical intelligence are good at singing or activities that involve whistling, rhythm, etc.

In order to satisfy everyone's needs we should think about students as individuals, we must enable them to express their own feelings, desires, thoughts, we should help them improve their capabilities, also peer into their souls and find the most appropriate way to make them successful learners. Innovative and encouraging activities as well as games are more than welcome in doing that.

#### **4. The Research Goal**

The goal of the research is to establish to what extent do teachers use games, whether they are satisfied with the results of game use in foreign language teaching, and how satisfied are the students with its use in the teaching process.

##### *4.1 Instrument and sample*

We only used the questionnaire for this research. It consisted of three parts: general information, information about organizing and planning games for classes, and attitudes about didactic-methodological characteristics of games and their use in the teaching process. The obtained data were quantitatively processed.

The research was carried out in Montenegro, in seventeen primary schools with eighty-eight teachers who teach four foreign languages: English (N 52), Italian (N 7), French (N 7), and Russian (N 22).

##### *4.2 The research process*

The questionnaire was used anonymously in order to ensure as sincere answers to the questions as possible by the students.

##### *4.3 The research results and discussion*

Since games are considered to be an indispensable technique and instrument for obtaining the most optimal results in foreign language acquisition and since they are used in foreign language teaching as a back-up for consolidation of teaching units, we will point out in this paper only to the results which are exclusively related to game itself. Hence, to the question: *Are games part of your operational plan?*, 94% of the respondents gave a positive reply. From these, the teachers of French replied with 100% that they are, the teachers of English 94%, Italian 86%, and Russian 82%. This result was as expected. It is necessary to introduce and use games in class work; it is a free and voluntary activity to which every student approaches voluntarily and all students are equal in it. A teacher, as a class organizer, is aware of this, and introduces it into the operational plan consciously and with a clear aim.

The answer to the question related to the number of planned games per class, gave us a clear picture of their presence per languages. The English language teachers use the most in the first, second and third grade, while for the rest of the grades, the use decreases. They use it 100% for the first three grades, which is natural as children willingly and eagerly accept the game at a younger age. The decrease in the game use is due to more complex programme requirements. Hence, the English language teachers plan to use games 43% for the final grade of the primary school. The teachers of French, Russian, and Italian, start using games from grade seven, since they start learning these

languages as second foreign languages and as an optional subject in primary schools from that age. From the very beginning of the teaching process, games are less planned among them in comparison to the English language teachers. For the final grade, the planned game use is from 11% to 13%. It is clear that games should not have a merely entertaining role and use in the teaching process, but rather, they should be organized and designed to change certain types of exercises during the class, and primarily those which students find monotonous, which cause frustrations among them, and which don't give sufficiently efficient results.

As for the basic resources for game selection, 38% of the respondents use the textbook and handbook as the basic resource for games which they use for teaching. Only 27% of the teachers use magazines or design the games on their own, and, unfortunately, only 9% use professional literature as a game resource. We did not expect the results showing such a low use of professional literature as it is easily available today, in the era of the Internet and on-line libraries.

The obtained replies to the question how much students accept games were the following. The French language students stated that they accept the game 100%, the English language students 94%, the Russian language students 95%, and the Italian language students 90%. The obtained result shows that it is necessary to use games as much as possible since it is a necessary, stimulant, and entertaining element in foreign language teaching. It motivates students, creates a pleasant atmosphere in a classroom, changes the rhythm of the class by offering varied situations for students, and creates the feeling of satisfaction which appears because of the ability to use a foreign language as a mother tongue. Hence, games are more than just relaxation.

The question: *Are you satisfied with the results that you achieve by using games?*, showed that the teachers are not as satisfied as students. Namely, out of three given options: *yes, partly, no*, no one gave a negative reply. Most replies that were chosen by the teachers were *partly*, and among them were: 75% of the English language teachers, 59% of the Russian language teachers, 58% of the French language teachers, and 51% of the Italian language teachers. It is obvious, that the teachers are not fully satisfied with the use of games during the classes although it has as its goal to focus student's attention on certain language structures, lexical elements, and morphological paradigms. The teachers believe that games obtain an entertaining character in the classroom, and that it is often quite difficult to use them in a quality way in classrooms. It is, as the teachers say, a perfect technique that can be successfully realized and that gives good results in foreign language learning at a younger age, but it acquires an entertaining character at higher levels, students are less motivated to participate and it becomes monotonous and boring.

## 5. Conclusion

As learning a foreign language is obligatory in our schools, teachers should try to make it interesting in order to facilitate students' tasks and make them willing to learn. Teachers also should try to understand their needs and desires, to make them feel relaxed in the classroom and thus portray the new experience to students as something both serious and amazing. Students are not supposed to be afraid of the learning foreign language and they need to be prepared to give their bests and reveal their capabilities, because if they feel fear about it, they will lose an interest and will to master it at the very start. So, prepare students for fun and surprises, but also underfeed and direct their love towards the new language. Of course, games are a good partner in doing that.

## References

- Gardner, H. (1999). *Intelligence reframed: Multiple intelligences for the 21st century*, NY: Basic books, New York
- Gibbs, G. (1987). *Dictionary of gaming, Modelling and Stimulation*. E & FN Spon Ltd., London
- Greenal, S. (1984). *Language games and activities*. Great Britain: Hulton Educational Publication
- Lee, W. R. (1979). *Language teaching games and contests*. Oxford: Oxford University Press.
- Millis, B. (2005). The educational value of cooperative games. *IASCE Newsletter*, 24(3), 5-7.
- Richard-Amato, P. A. (1988). *Making it happen: Interaction in the second language classroom: From theory to practice*. New York: Longman.
- Rixon, S. (1981). *How to use games in language teaching*. London: Macmillan.
- Wright, A., Betteridge, D., & Buckby, M. (2005). *Games for language learning* (3<sup>rd</sup> ed.). New York: Cambridge University Press.

## The Transition of Plumeria in Thai Society How Globalization and Consumerism Shape Local Customs

**Amata Jantarangsee**

King Mongkut's University of Technology Thonburi  
Bangkok, Thailand  
Email: evejant@gmail.com

---

**Abstract:** *In the past, Plumeria was known as Lantom in Thailand. It was prohibited for the common man to grow this flower in their house because it was thought that it may bring sorrow and misfortune to family members. Hence, Lantom was restricted to planting in public places. Later, the associated meaning of sorrow was lessened as the artistic and aesthetic functions of Plumeria became prevalent. Plumeria was introduced into common places i.e. homes, gardens, spas, resorts, restaurants, coffee shops, and the flower's meaning significantly changed as well as it was renamed Lelawadee, which means beautiful branching pattern, in order to better align with its new functions. This paper is to explore a changing identity of Plumeria in Thai society based on the meaning, name, usage, and suitable planting places. The data regarding to Plumeria history and Plumeria in Thai people's everyday life which derived from the documents and an interview with landscape architecture was analyzed via the concepts of globalization and consumerism. The author found that the position of Plumeria was changed by global trends: a concept of landscape and an appreciation of leisure. As an object of consumption concerning its design and style, Plumeria displays signs of relaxation, chic, stylishness, Thainess, and Baliness.*

**Keywords:** *Plumeria; Globalization; Consumerism; aesthetic; landscape; leisure; design; style;*

---

### Introduction

Jean Chesneaux (1994) proposed an interesting argument about the effect of globalization in the article "Ten Questions on Globalization" in the Pacific Review journal that "globalization entails the domestication of customers, of their tastes, and of their customs". His argument lead the author to consider the effects of western cultural influence on economic and cultural phenomena in Thailand. To support Chesneaux's argument, there are numerous obvious exemplars in Thailand — the modern department store (e.g. Tesco Lotus), the iPhone fever trend, brand name addiction (e.g. Zara, Coach, La Mer, Ray-Ban), and the Starbucks coffee fever. However, there is a relatively uncommon phenomenon that has been mostly undiscovered and rarely studied by Thai scholars. This phenomenon is the cultural status of the flowering plant named Plumeria. An interesting issue is that not only did globalization through one of its components, international media, redefine the concept of acceptable consumerism which resulted in raising the number of Plumeria consumers, but it also had an effect on the identity of Plumeria.

In this paper, the author would like to introduce a research method, and then explain the theoretical framework — the effects of globalization and consumerism. After that, the history of Plumeria is revealed in order to give an overall picture of the cultural transition of Plumeria based on meaning, name, use, and suitable planting places. Lastly, the author will analyze the emerging situation of Plumeria regarding globalization and consumerism and will attempt to explain how both effects have played an important role in replacing the old customs associated with Plumeria and convincing Thai people to be familiar with and adopt the new meaning of Plumeria and use it in different ways.

### Study of Plumeria transition

This paper aims to explore the transformation of the Plumeria flowering-plant in Thai society in order to understand how globalization and its attached component, consumerism, acted upon and continues to influence Thai people in aspect of their tastes and their customs. The data was collected by two techniques: 1) review documents regarding the history and signifiers of Plumeria such as books, handbooks, magazines, and brochures, and 2) interview landscape architects about the standard of Plumeria use. To analyze the Plumeria situation in Thai society, the data was described and interpreted via Chesneaux's argument. The author would like to define 'customer' as Thai people who consume Plumeria in any manner of appreciation, use, purchase, taste, and 'customs' in terms of the values associated with Plumeria, or their beliefs about the cultural and spiritual aspects of Plumeria. To support Chesneaux's proposition, Water's notion on globalization, Baudrillard's concept of sign value, and Miles's concept of design and style of commodities were explored.



## Globalization

“A social process in which the constraints of geography on social and cultural arrangement recede and in which people become increasingly aware that they are receding.” (Waters, 1995, p. 3)

The globalization process has exposed people to the contemporary world and changes to local cultures have been generally accepted as an unavoidable feature. Generally, the consequences of western influence are evident throughout three areas of social life (Ziauddin and Loon, 2007, p. 163). And, according to Waters (1995, p. 7-8), they are the economic, the polity and the culture. Of relevance to this research are (1) the economic: social arrangements for the production, exchange, distribution and consumption of goods and tangible services; and (3) the culture: social arrangement for the production, exchange and express of symbols that represent facts, affects, meanings, beliefs, preferences, tastes and values.

In this paper, the author employed the area of culture as a framework and focused on the notion of symbolic exchange. Waters (1995, p. 8-9) claimed that symbolic exchange applies in the area of globalized culture via the processes of oral communication, propaganda, advertisement, publication, exhibition, and spectacle. This kind of exchange is not attached to the specific space and time; therefore, symbols can be produced anywhere and at any time with relatively few resource constraints on their production and reproduction. Moreover, they can often claim universal significance.

Therefore, things that once made each culture unique are now being replaced or modified by things that are part of global trends, and not based on locality or individuality. By this, local culture can be customized and interfered with by a universal culture. The threats to cultural diversity and sovereignty may lead to the “end of individuality and the beginning of monoculture” (Kleeman et al., 2008, p. 343-344).

## Consumerism

“A way of life in which having, desiring, and wishing for more and more things have become significant preoccupations for late modern subjects whose identities are increasingly bound up with what and how they consume” (Smart, 2010, p. 5).

Consumerism, the consumption of increasingly more and more products to construct identity, is a significant part of the globalization process. Facilitated by communication methods, globalization assists the meaning embedded in a product to be transmitted from the global level to the local level. The most important symbol exchanged in this globalization trend is the sign value of commodities which is the core notion of consumerism.

Baudrillard (1968) argues that humans relate to commodities by four types of logic of consumption. Before the period of consumerism, there were three types of logic of consumption in the social and economic order. The first logic was called ‘use value’ which referred to consuming the objects according to their utility or practical operation. The second logic was the ‘logic of exchange value’ which meant that relations between humans were mediated with commodity or money. The third type was the logic of symbolic exchange value where the object became a symbol and had a meaning or use for humans, or humans used that symbol to communicate meaning with others.

Subsequently, the logic of consumerism generated a new relation between human and object identified as the ‘logic of sign value’ or ‘logic of difference’, according to Baudrillard. This logic occurs when the status of the object transforms to a sign and humans use that sign to compare with another sign. The result of this logic is the differentiation between humans (Kaewthep and Hinviman, 2008, p. 464-465).

By this, the unique characteristics of the relationship between human and object consumption are not only dependent on the logic of use value, exchange value, and symbolic exchange value, but are also considerably dependent on the logic of sign value (Baudrillard, 1968 cited in Kaewthep and Hinviman, 2008, p. 463).

As a logic of sign value, a traditional symbolic object derives its meaning from an abstract and systematic relationship to all other sign-objects. (Baudrillard, 1968, p. 268). Because sign value becomes the main reason for consuming a product, the producer tries to create a product that conveys potentially a sign value; therefore, goods purchased by consumers are characterized by their hyper-reality, the image that is projected by the object and not just the function, which refers to the design and the style (Miles, 1998, p. 46).

Design has an important role in altering the way in which consumers see commodities. Designs can cast ideas about who we are and how we should behave into permanent and tangible forms. In this respect, design has an especially important role in the visualization of class position and status. The role of design is therefore not to meet

human needs but to create and stimulate those needs in increasingly diverse ways. Style—the meaning people invest in design—is a new way of selling old product (Miles, 1998, p. 39-44; Forty, 1986 cited in Miles, 1998, p. 43; Barthel, 1989 cited in Miles, 1998, p. 39).

As a result, design and style have a power to raise an object's value and the price of commodities based on the meaning that customers consume from the object. Therefore, consumerism is a social and economic order that has a spiritual impact on consumers based on encouraging the human desire to purchase goods and services in ever greater amounts (Kaewthep and Hinwiman, 2008, p. 462).

### **Plumeria in the Thai Context**

Plumeria (also known as Pagoda tree or Frangipani) is the tropical tree which consists of huge green leaves and bunches with groups of white, pink or yellow flowers. This plant has been introduced to Thai society from the time Thailand was known as Siam. It has been so stable and widespread in Thailand that Thai people have come to perceive it as a local plant. There is no evidence to show the exact period when Plumeria was imported to this land; however, numerous assumptions have arisen. One supposition proffers that one thousand-year old Plumeria found near PhaMuang<sup>1</sup>Pagoda reveals that it was imported into Thailand since at least the emergence of the Sukhothai Kingdom. However, there is conjecture based on evidence that shows Plumeria was brought into Thailand during the Ayutthaya Kingdom has three supporting points. Firstly, the branch of the Plumeria was the royal present of French ambassadors for Siam's king. Secondly, it appears that Plumeria arrived in Siam approximately in 1717, the middle of the Ayutthaya era, when Siam traded with the Spanish who brought Plumeria from its colony, the Philippines. Lastly, Plumeria entered Thailand in the latter part of the Ayutthaya era when some French were courtiers and grew it in the palace and temples. Yet another hypothesis is that the existence of Plumeria in Thailand started in the Rattanakosin era, not Ayutthaya, because of the obvious evidence of Plumeria as a component of the palace landscapes of Kings Rama IV and V (Akkhaneeyut, 2005, p. 176-177; Chantalao, 2006, p. 12-20; Chantarasomboon, 2003, p. 19). Even though there is no unanimous agreement about the origin of Plumeria in Thailand, there is no disagreement that Plumeria is an exotic plant.

Henceforth, Plumeria has been widespread in Thailand. However, this flowering plant was restricted to specific places which were likely to be a formal or public space, for instance, a Buddhist temple, church, cemetery, and graveyard. In early times, people believed that Plumeria was a horrific flower, and the living locale of ghosts or evil spirits (Apaisuwan, 1989, p. 231). Moreover, it referred to sorrow and/or misfortune. To avoid the misfortune of residents, rarely did Plumeria exist in Thai houses or other accommodation areas.

Gradually over time, the belief of a negative effect on a household lessened. By 2005, Plumeria was regarded as a most attractive plant (Jiramongkholkarn, 2006, p.17-18, 147-149). 'Plumeria fever' became the cause of a rise in price. The old maligned Plumeria tree which now provided a more beautiful, high value form was transplanted away from its original habitat to be grown in private gardens. At this time, Plumeria was renamed from 'Lantom' to 'Leelawadee' which means plants with beautiful style and form. Plumeria began to increasingly pervade private spaces such as home gardens, resorts, restaurants, hotels, coffee shops, and spas and became a popular flower (Akkhaneeyut, 2005, p. 179; Chantarasomboon, 2003, p. 14, 18). Thai people not only began to use Plumeria flowers and trees but they also admired its new image. Plumeria photos and paintings are now favorite patterns for several products, for example, posters, note books, and postboxes.

### **How Globalization and Consumerism Shape Local Custom**

According to the transition of Plumeria in the Thai context, globalization significantly assisted in implementing the universal trend to displace local customs in Thailand. In order to adopt the universal trend of experiencing Plumeria to Thailand, its symbolic meanings were therefore conveyed from the global arena to a local implementation via oral, visual, and experiential communication processes in several ways—communication through foreigners who visited Thailand and Thai people who traveled abroad and experienced different customs associated with Plumeria, advertisements of foreign commodities which are made to look attractive through inclusion of Plumeria motifs such as beautiful seaside resort brochures, and publications which point to Thailand as a model to be adapted for their customers' lifestyle. These (i.e.

---

<sup>1</sup> PhaMuang is the name of the King in Sukhothai era.

gardening, home decoration, and spa retreat handbooks) often give ideas about the use of Plumeria in private spaces and domestic dimensions.

### *The Plumeria phenomenon in economic and cultural aspects*

Globalization affected both the economic and cultural status of Plumeria. In the economic aspect, it lead to a new system interpretation from 'leave it in the temples' to commercial production. The Plumeria market has expanded due to the interest of innumerable Thai consumers and resulted in rising prices. Plumeria breeding farms that provide a variety of choices and the merchants who can provide ancient Plumeria trees to customers became successful in this business.

In addition to the aspect of economic demands, globalization played an important role in the emerging positive cultural sense of Plumeria in Thai society, in acclimatizing the Thai people to consume all things Plumeria, and in forming the new tastes and customs regarding this flowering plant.

### *Universal trend of Plumeria*

Globalization gave Thai people a new sense about Plumeria, a shifting perspective from horrible to good similar to universal trends. A relevant example is the concept of 'landscape' which has changed the perspective of people regarding trees. That is, a tree is not just an isolated object but it is an important compositional element to enhance space. When Thai people re-imagined their concept of the modern landscape, they needed to change the predominant views on Plumeria. The superstitious view of Plumeria in Thailand was inconsistent with prevailing global trends of it being a significantly high symbolic value tree used to create sculptural effects for outdoor spaces. As a result, the old meaning that didn't comport with the new knowledge connected to the global level gradually disappeared. The second example is the increase of the Thai people's appreciation of the concept of leisure that lead to an interest in free time activities. Plumeria's new identity enabled it to be as the new symbol signifying the leisure nature of certain industries, for example, spa services where the Plumeria is the most necessary flower in therapy procedures and is the primary contribution to a spa's relaxing atmosphere (Benge, 2000, p. 123), tourism where the Plumeria is a popular plant for decorating resting and touring places to stimulate a positive impression from tourists, and home decoration hobby which rates the Plumeria tree first for making homes attractive. When these commonly-practiced international activities were adopted by locals and stabilized in Thailand and more people began to wish for and enjoy this international lifestyle, the modified meaning of Plumeria in the context of a spa, residence, and home garden absolutely altered its out-of-date definition.

### *The Sign of Plumeria amidst Consumerism*

This new sense apparently gradually grows with consumerism —a way of life in which Thai people continuously want and use Plumeria as an object for building up their identity. Therefore, Plumeria is a cultural commodity which is not only used based on the logic of use value (a shade tree and a relief of sickness) and exchange value (symbolic aspects of death and the spirit) but also based on sign value. The emergence of Plumeria as an object of consumption is recent; as Baudrillard notes, it is used as a cultural commodity which displays the meaning of the logic of signs.

Plumeria can convey meaning at a hyper-reality level. The most frequent sign of Plumeria is its non-stressful presence; hence, Plumeria is found in and complements places that provide a relaxing atmosphere, for instance, spa, resort, and garden. Plumeria also signifies a specific stress-free meaning in each occurrence. Plumeria conveys the meaning of a world of leisure and sign of rest and freedom from hustle if it is used in tourist accommodations such as hotel, resort, or weekend house. Similarly, it provides the sign of comfort and good-naturalness that matches with the relaxing function of the coffee shop — the modern consuming space.

Plumeria displays the signs of relaxation, peace, and ease in the spa where it has been used in several ways e.g. Plumeria flowers floating in a bathtub or in a bowl of water for soaking feet, or displayed on the reception counter for welcoming customers. Through the strategic use of Plumeria flowers, the spa's visitors can consume this sign of a high-class, slower-paced lifestyle.

Plumeria signifies an elevation of the status of the private garden and by extension its owner and provides evidence of its flexibility as a symbol. The sign of chic is displayed when it is chosen to decorate a modern garden. In contrast to a modern garden, the sign of Thainess is exhibited if this flowering plant appears in a Thai-style garden. As well, the sign of Baliness is presented when Plumeria is in a Bali-style garden.

The signs of artistry, trendiness, good taste, or stylishness are displayed on artistic gadgets with Plumeria photos and drawings. For example, the wooden postbox with inadequate a Plumeria signifier implies a trendy consumer.

These visible signs of Plumeria are the meanings which people want to consume and adopt as their own identity. Therefore, the way Thai people have recently used Plumeria is connected to what Plumeria signifies.

### *Design and style of Plumeria*

Because the meaning of the Plumeria is based on sign value and because it is an artistic object, consuming Plumeria means consuming design. The adoption of the design of Plumeria refers to the preferred shape, physical configuration and profile, as landscape architecture calls 'form', and suitable location. Generally, the ideal characteristic of the Plumeria tree is a large and rough bole with graceful and proportionally expanding trunks. The appropriate planting places are outstanding positions such as at the entrance, near the pool, and in the man-made garden soil. Choosing the right form and position is a matter of personal selection because this kind of design is a concrete form of the consumer's taste and identity that reflects their class position and social status which differentiates one person or group from another.

Not only design, but style is another important aspect in constructing the hyper-reality state of Plumeria for stimulating Thai people to buy and consume increasingly more Plumeria. The most prevalent style that appears in Plumeria usage is the theme or style of garden. Consumerism constructs the sign value for the garden theme and globalization influences the adoption of this popular international theme by Thai people. The Plumeria contributes the social upscale meaning of chic to modern gardens while also socially signifying the Baliness of their garden. The garden style is the strategy of consumerism to persuade people to forget the old meaning and view the Plumeria according to its new look or as a commodity attached to a sense of Baliness and modernism.

Moreover, the logic of sign value—design and style—operates in adding to the value of Plumeria because the value and the price are appointed by social value. This can be seen in the 'Plumeria fever' trend which began in 2005 and continues until now. The price of Plumeria rose dramatically because it became an object of social need. Although it arguably never fulfills a customer's real need, it does support the differentiation between different consumers. The people who admire modernism or Bali gardens have to reach for this classy flowering tree and ignore the over-priced nature of this transformed symbol. Therefore, the recent dimension of Plumeria consumption is based on the correctness of its design and style which have an important role in stimulating the Plumeria fever trend in Thailand.

### **Conclusion and discussion**

This study explores the emerging situation of Plumeria regarding its effects on Thai society and how globalization and consumerism acted upon and continues to influence Thai people in aspect of their tastes and their customs. The author has demonstrated that Plumeria in Thai society has been transformed from a superstitious status to a positive acquisition. In the past, it was prohibited to grow this flower in housing areas because it was thought that it might bring sorrow and misfortune to family members. Then, in approximately 2005, it became attractive and proceeded to pervade private spaces and expressions such as home gardens, resorts, restaurants, coffee shops, spas, and artistic gadgets.

This transition is the effect of universal trends—notions of landscape design and leisure activities—such that concepts of globalization has been implemented to displace local customs in Thailand via cross-cultural communication and publication. In the economic aspect, globalization and consumerism have played an important role in expanding the Plumeria market in Thailand. In the cultural arena, they have convinced Thai people to be familiar with and adopt the new stress-free meaning of Plumeria and consume it according to its design and style, e.g. expression of attachment to a sense of Baliness and modernism when building up their identity and social status.

Revealing that globalization and consumerism can shape local Thai customs, the author's analysis attested to the Chesneaux argument that globalization can domesticate local customers regarding their tastes and customs. However, this is in contrast to the concept of 'glocalization' which refers to the result of globalization with unique outcomes in different geographic areas as a permutation of the global and the local (Ritzer, 2003, p. 193). Therefore, I would argue that all universal constraints may not lead to the glocalization phenomenon and exceptions should be considered. Future research may further explore the conditions which lead to the mixture of global and local customs or the total possession of local customs by global trends.

## Acknowledgements

The author would like to acknowledge and thank Dr.Kasem Phenpinan, Dr.Saipin Suphutthamongkhol, Sorayut Aiemueayut, and Woravut Jaroongkhongdach for sketching out some of the ideas that appear during the paper, Sompatu Vungthong for valuable suggestions, and Selim Hassan for attentive reviewing and editing.

## References

- Akkhaneeyut, W. (2005, December). The story of Plumeria. *Home and garden*, 352, 175-179. (Originally in Thai)
- Apaisuwan, W. (1989). *Flower and history of Thai flower*. Bangkok: DLS. (Originally in Thai)
- Baudrillard, J. (1968). *The system of objects*. (J. Benedict, Trans.). London: Verso.
- Baudrillard, J. (1981). *Toward a critique of the political economy of the sign*. (C. Levin, Trans.). New York: Telos.
- Benge, S. (2000). *Asian secrets of health, beauty, and relaxation*. Hong Kong: Periplus Editions.
- Chantalao, S. (2006). *Easy Plumeria*. Bangkok: Amarin. (Originated in Thai)
- Chantarasomboon, S. (2003). *Legend of Plumeria*. Bangkok: Lelawadee trading. (Originally in Thai)
- Chesneaux, J. (1994). Ten questions on globalization. *Pacifica review* (C. O'Brien, Trans.). 6(1), 87-93.
- Jiramongkholkarn, Urai. (2006). Collection of ornamental plants. Bangkok: Home and Garden. (Originally in Thai)
- Kaewthep, K. and Hinwiman, S. (2008). *The intellectual stream of political economy and communication studies*. Bangkok: Phap-pim. (Originally in Thai)
- Miles, S. (1998). *Consumerism as a way of life*. London: Routledge.
- Petchyim, T. and Siriwetcharak, T. (2007). *Tropical garden*. Bangkok: Amarin. (Originally in Thai)
- Ritzer, G. (2003). Rethinking Globalization: Glocalization/Globalization and Something/Nothing. *Sociological Theory*. 2(3), 193-209.
- Smart, B. (2010). *Consumer society: Critical Issues and Environmental Consequences*. Los Angeles: Sage.
- Water, M. (1995). *Globalization*. London: Routledge.
- Ziauddin, S. and Loon, B. (2007). *Introducing cultural studies*. R. Appignanesi, (Ed.). London: Icon books

## Autism Spectrum Disorders and Epilepsy

### Migena Kika

Child neurologist, National Centre for Growth,  
Development and Rehabilitation of Children, Tirana, Albania  
E- mail: [bedenimigena@hotmail.com](mailto:bedenimigena@hotmail.com)

### Venetike Merkaj

University of Tirana,  
Faculty of Nursing, Tirana, Albania,  
E -mail: [venetike@gmail.com](mailto:venetike@gmail.com)

### Artur Rada

University of Tirana,  
Faculty of Social Sciences, Tirana, Albania,  
E- mail: [arturrada@yahoo.com](mailto:arturrada@yahoo.com)

---

**Abstract:** Epileptic seizures are frequent in children with ASD with a reported prevalence between 7% and 46%. These figures are higher than those reported for the normal pediatric population but the true prevalence remains uncertain because studies examining this have included comorbid conditions. **Aim:** Study the prevalence of epilepsy in children diagnosed with ASD. **Methods:** Retrospective study of 30 children diagnosed with ASD in the National Center for Growth, Development and Rehabilitation of Children. The clinical history and electroencephalograms of these children were reviewed. The children were from 2 years old until 8 years old. **Results:** 7 out of 30 children diagnosed with ASD were also diagnosed with epilepsy or abnormal electroencephalograms with a prevalence of 23%. These children showed more profound intellectual impairment and regression in cognitive development than those with ASD, but no epilepsy. **Conclusion:** ASD in early childhood is associated with high rate of epilepsy . These findings suggest that neurological investigative techniques such as EEG should be considered during evaluation of children with ASD with more impaired cognition.

**Keywords:** Autism, ASD, Epilepsy

---

## Introduction

Autism spectrum disorder (ASD) and autism are both general terms for a group of complex disorders of brain development. Autism is a disorder of neurodevelopment characterized by core deficits in three major domains: social interaction, communication and restricted interests with repetitive behavior.

The diagnostic criteria require that symptoms become apparent before a child is three years old. The Diagnostic and Statistical Manual of Mental Disorders (DSM-IV) defines autism as a spectrum disorder encompassing autistic disorder, pervasive development disorder not otherwise specified (PDDNOS), Asperger's syndrome, childhood disintegrative disorder and Rett syndrome.

DSM-V proposes to use just one general term: autism spectrum disorders, leaving out of the spectrum the Rett syndrome. The criteria to be met to be included in the spectrum will be as followed:

Autism Spectrum Disorder

Must meet criteria A, B, C, and D:

- A. Persistent deficits in social communication and social interaction across contexts, not accounted for by general developmental delays, and manifest by all 3 of the following:
  1. Deficits in social-emotional reciprocity; ranging from abnormal social approach and failure of normal back and forth conversation through reduced sharing of interests, emotions, and affect and response to total lack of initiation of social interaction,

2. Deficits in nonverbal communicative behaviors used for social interaction; ranging from poorly integrated-verbal and nonverbal communication, through abnormalities in eye contact and body-language, or deficits in understanding and use of nonverbal communication, to total lack of facial expression or gestures.
  3. Deficits in developing and maintaining relationships, appropriate to developmental level (beyond those with caregivers); ranging from difficulties adjusting behavior to suit different social contexts through difficulties in sharing imaginative play and in making friends to an apparent absence of interest in people
- B. Restricted, repetitive patterns of behavior, interests, or activities as manifested by at least two of the following:
1. Stereotyped or repetitive speech, motor movements, or use of objects; (such as simple motor stereotypies, echolalia, repetitive use of objects, or idiosyncratic phrases).
  2. Excessive adherence to routines, ritualized patterns of verbal or nonverbal behavior, or excessive resistance to change; (such as motoric rituals, insistence on same route or food, repetitive questioning or extreme distress at small changes).
  3. Highly restricted, fixated interests that are abnormal in intensity or focus; (such as strong attachment to or preoccupation with unusual objects, excessively circumscribed or perseverative interests).
  4. Hyper- or hypo-reactivity to sensory input or unusual interest in sensory aspects of environment; (such as apparent indifference to pain/heat/cold, adverse response to specific sounds or textures, excessive smelling or touching of objects, fascination with lights or spinning objects).
- C. Symptoms must be present in early childhood (but may not become fully manifest until social demands exceed limited capacities)
- D. Symptoms together limit and impair everyday functioning.

In Albania apart from DSM, ICD 10 criteria are also used to establish a diagnosis for autism. These criteria are similar to DSM-IV criteria.

The number of observed cases of autism is increasing rapidly, about 1 in 88 children has been identified with an autism spectrum disorder (ASD) according to estimates from CDC's Autism and Developmental Disabilities Monitoring (ADDM) Network. ASDs are reported to occur in all racial, ethnic, and socioeconomic groups. ASDs are almost 5 times more common among boys (1 in 54) than among girls (1 in 252). Studies in Asia, Europe, and North America have identified individuals with an ASD with an average prevalence of about 1%. A recent study in South Korea reported a prevalence of 2.6%.

Ever since its original description by Leo Kanner in 1943, autism has been generally defined by its clinical characteristics and core symptoms. Over time, it has become apparent that autism is a heterogeneous disorder with regard to its clinical presentation, etiology, underlying neurobiology, and degree of severity. With advancements in clinical care, there has come the appreciation that many ASD children, adolescents, and adults may have medically relevant disorders that may negatively impact their developmental progress and behavior, but which frequently go undetected. Many of these medical conditions are treatable, often resulting in improved developmental gains and quality of life for the patient and family. In addition, the possibility exists that some of these medical conditions may suggest the presence of important genetic and/or biologic markers, which, if identified, can refine our ability to be more precise in categorizing clinical and genetic subtypes within the autism spectrum.

Neurological co-morbidities include motor impairments, epilepsy, and sleep dysfunction. These impairments have been receiving more attention recently, perhaps because of their significant impact on the behavior and cognitive function of children with ASDs. Autism affects information processing in the brain by altering how nerve cells and their synapses connect and organize; how this occurs is not well understood.

The International League Against Epilepsy (ILAE) and the International Bureau for Epilepsy (IBE) have come to consensus definitions for the terms epileptic seizure and epilepsy. An epileptic seizure is a transient occurrence of signs and/or symptoms due to abnormal excessive or synchronous neuronal activity in the brain. Epilepsy is a disorder of the brain characterized by an enduring predisposition to generate epileptic seizures and by the neurobiologic, cognitive, psychological, and social consequences of this condition. The definition of epilepsy requires the occurrence of at least one epileptic seizure.

Epilepsies are classified in five ways:

1. By their first cause (or etiology).
2. By the observable manifestations of the seizures, known as semiology.
3. By the location in the brain where the seizures originate.
4. As a part of discrete, identifiable medical syndromes.
5. By the event that triggers the seizures, as in primary reading epilepsy or musicogenic epilepsy.

In 1981, the International League Against Epilepsy (ILAE) proposed a classification scheme for individual seizures that remains in common use. This classification is based on observation (clinical and EEG) rather than the underlying pathophysiology or anatomy and is outlined later on in this article. In 1989, the ILAE proposed a classification scheme for epilepsies and epileptic syndromes. This can be broadly described as a two-axis scheme having the cause on one axis and the extent of localisation within the brain on the other. Since 1997, the ILAE have been working on a new scheme that has five axes:

1. ictal phenomenon, (pertaining to an epileptic seizure)
2. seizure type,
3. syndrome,
4. etiology,
5. impairment.

The relationship between epilepsy and ASD has been studied since decades by neurologists although areas for ongoing debate still exists. This association was also mentioned in the first description of autism by Leo Kanner. Studies suggest that epilepsy is more common in children with ASD than in the general pediatric population. Studies also show that the prevalence rates of epilepsy among the general pediatric population is between 2 to 3% compared to as high as 30% among children with ASD.

Even in children with ASD who have no other risk factors such as perinatal disorders, cerebral palsy or other medical conditions or those who have normal intelligence or no family history of epilepsy, still the prevalence of epilepsy is 2 to 3 times higher than in typically developing children. This strongly supports the association between the two disorders.

Epilepsy and autism are both heterogeneous clinical disorders associated with an array of etiologies and pathologies, many of which are common to both group of disorders.

## **Research Methodology**

The aim of the study is to find out the prevalence of epilepsy in children diagnosed with ASD ( 2-8 years old).

### *2.1 Method*

The study was conducted retrospectively. Selection of the method and instrument for data collection was selected in compliance with the aim of the study.

### *2.2 Instrument*

The instrument used in this study was data collection from the medical records of the children diagnosed with ASD. The diagnosis of autism was established using DSM- IV criteria and/or ADOS or ADI-R. Children with Asperger syndrome or PDD-NOS were not included in the study. Their medical records related to IQ, co morbid conditions, perinatal conditions, behavior, language development, regression in cognitive development and several epilepsy factors including EEG were reviewed. SON-R (Snijders Oomen non verbal intelligence test, revised version) psychometric test was administered to all the children in the study to determine their cognitive profile.

### *Participants*

A total of 30 children diagnosed with ASD in the National Center for Growth, Development and Rehabilitation of children were included. All these children were referred for EEG as part of a routine examination. All the cases were chosen randomly. The children aged from 2 to 8 years old. 18 of the children were boys and 12 girls. All participants came from different parts of Albania and represent children from different economic, social and cultural and religious background.

### *EEG study*

EEG was performed in one location, at a private clinic in Tirana. EEG recording was reviewed by one of the authors. Electroencephalograms of all the patients were recorded on an 18 channel instrument. The electrodes were placed by the technicians according to the international 10-20 system, using a digital tracing monitor. The recording was done while the children were in natural sleep for the younger children or awake for the older ones when possible. Hyperventilation and light stimulation were also used when possible.



EEG were classified as normal, abnormal but not epileptiform ( for example slow waves), abnormal epileptiform with focal onset and abnormal epileptiform with generalized onset.

The diagnosis of epilepsy was established if the child had more than one unprovoked seizure and/or an epileptiform EEG.

## Findings and Discussion

Rates of epilepsy among the children with ASD in this study was 23% compared to 1% reported for children with typical neurodevelopment. For most of the children there is not an identified cause for either the conditions, epilepsy or autism.

All the children diagnosed with ASD and epilepsy expressed the following characteristics: males or females, first EEG examination at 2-8 years of age, onset of initial chief complaint at 2 to 3 years old, spike and wave EEG abnormalities.

Children diagnosed with autism and epilepsy showed more marked impairment in verbal and receptive language being compared with children with ASD but not epilepsy. Also they showed more impaired cognitive development than children with only ASD.

Distinguishing seizures from non-seizures is difficult especially in young children and especially in children with autism. This is because of the communication difficulties and impaired intellectual function these children have. Stereotypy, aggressive behavior, neurological deficits. odd behaviors and diminished responsiveness may be present in a person with autism with or without epilepsy.

Another big difficulty rises from the fact that children with ASD are very difficult to cooperate with tests and investigations such as EEGs. CT and MRIs. Normal CTs and MRIs suggest that there are not structural abnormalities in the brain but they don't explain the seizures.

In some of the children there was evidence in EEG of subclinical epileptic activity going on but not manifested as clinical episodes. Not all seizures are noticeable, some may be subclinical and difficult to detect by observation by physicians or parents and caregivers. Possible signs of subclinical seizures include regression of both behavior and cognition, deterioration in behavior especially aggression, temper tantrums, self injurious behavior, staring episodes, breath holding spells, fainting episodes, plateauing in academic achievement. It is very important to identify such abnormalities and treat them if necessary to improve the overall functioning of the child.

One of the more complicated implications of the children involved in the study was that the children having epilepsy showed in some cases developmental regression associated with the onset of the seizures. The having of epilepsy itself does not necessary deteriorate the overall performance. But we know from experience and evidence that untreated seizures, apart from being potentially dangerous can lead to serious bad effects on the levels of functioning.

In Albania there is a considerable variability between pediatric neurologists, general pediatricians and psychiatrists with respect to referral for EEG. EEG is not routinely recommended in the practice parameters for autism unless there is evidence of clinical seizures or a high index suspicion for epilepsy.

All children with convulsions as the referring symptom had an epileptiform encephalogram and were diagnosed as epilepsy.

A history of potential epileptic symptoms is more difficult to ascertain in very young children and in children who are low-functioning or severely impaired. Routine EEG should be considered as crucial part of the evaluation of these children.

Another point to discuss is the treatment of seizures in children with ASD. The use of antiepileptic drugs to control seizures is controversial to the aim of treating autism through special intervention programs. Children with ASD and epilepsy require intensive, highly structured special education support, behavior therapy, speech and language therapy than children with ASD alone.

When autism and epilepsy coexist the quality of life of these children is severely impacted. Another important point is that autism is not an epileptic encephalopathy and that epilepsy and epileptiform activity are more likely to be associated with language regression than autistic regression in these children.

Autistic children with epilepsy also tended to be more impaired than those without epilepsy. About 48 percent of those with treatment-resistant epilepsy had motor skills delays, compared to 32 percent of those with treatable epilepsy. Also, those with treatment-resistant epilepsy had more language delays (69 percent versus 51 percent), and were somewhat more likely to experience development regression.

The relationship between epilepsy and autism, and specifically the effects that abnormal electrical activity may have on the developing brain, may provide some valuable insights into the type of studies that are needed to help us understand the pathophysiology of autism.

This retrospective study is based on the children diagnosed with ASD who also performed EEG and does not represent percentages of seizures in the pediatric population of children with ASD. The findings should be further examined in a larger cohort of children with ASD.

## Conclusion

The study suggests that the use of the neurological investigative techniques such as electroencephalography should be considered routinely during evaluation of the young children with ASD and performed as soon as a diagnosis of ASD is being done.

Epilepsy can directly affect cognition and behavior and there are several epileptic disorders that may cause behavioral and language regression with a behavioral phenotype similar to autism. Thus it is important to make an accurate differential diagnosis.

From this rather small study and from other reports from the literature another big question rises and should find answers in may be future studies. Is autistic brain more prone to seizures or is the epileptic brain more prone to autism? Are they often in combination or do they represent a manifestation of a broader, larger disorder? Is epilepsy a cause, consequence a coincidence or co morbidity of autism?

## References

- American Psychiatric Association: *Diagnostic and Statistical Manual of Mental Disorders Fourth Edition: American Psychiatric Association, Washington, DC, 1994*
- Munoz – Yunta JA, Salvado B, Ortiz – Alonso T et al: Clinical features of epilepsy in autism spectrum disorders [Clinica de la epilepsia en los trastornos del espectro autista]. *Rev Neurol* 2003 Feb;36 suppl 1:S61-7
- Tuchman R: Treatment of seizure disorders and EEG abnormalities in children with autism spectrum disorders. *J Autism Dev Disord* 2000 Oct; 30(5): 485-9
- Rapin I : Autism. *N Engl J Med* 1997 Jul 10: 337(2): 97-104
- Steffenburg S, Steffenburg U, Gillberg C: Autism Spectrum Disorders in children with active epilepsy and learning disability: comorbidity, pre-and perinatal background and seizure characteristics. *Dev Med Child Neurol* 2003 Nov: 45(11): 724-30
- Giovanardi Rossi P, Posar A, Parmeggiani A: Epilepsy in adolescents and young adults with autistic disorder. *Brain Dev.*2000 Mar;22(2) : 102-6
- Kinsbourne M, Graff WD: Disorders of mental development. In Eds.: Menkes JH, Sarnat HB: *Child Neurology Sixth Edition: Lippincott Williams & Wilkins, Philadelphia, 2000.*
- Hashimoto T, Sasaki M, Sugai K et al: Paroxysmal discharges on EEG in young autistic patients are frequent in frontal regions. *J Med Invest* 2001 Aug: 48 (3-4): 641-5.
- Volkmar FR, Klin A: Pervasive Developmental Disorders. In: Sadock BJ, Sadock VA (eds): *Kaplan and Sadock's Comprehensive Textbook of Psychiatry*(7<sup>th</sup> ed). Philadelphia: Lippincott Williams & Wilkins, 2000.
- Chantal Sicile – Kira "Autism Spectrum Disorders" *The Complete Guide to Understanding Autism, Asperger's Syndrome, Pervasive Development Disorder, and Other ASDs.*
- Mark L. Wolraich; Dennis D. Drotar; Paul H. Dworkin; Ellen C. Perrin: "Developmental – Behavioral Pediatrics".
- Dykens E, Sutcliffe J, Levitt P. Autism and 15Q11-Q13 disorders: behavioral, genetic and pathophysiological issues. *Ment. Retard Dev Disabil* 2004 ; 10:284-291
- Battaglia A. The inv dup (15) or idic (15) syndrome: a clinically recognizable neurogenetic disorder. *Brain and development* 2005; 27: 365-369
- Malow BA, Mc Grew SG. Sleep and autism spectrum disorders In: *Autism: A Neurological Disorder of Early Brain Development International Review of Child Neurology Series* (Tuchman R, Rapin I, eds) London : Mac Keith Press with the International Child Neurology Association 2006, pp.189-201.
- Malow Ba. Sleep disorders, epilepsy and autism. *Ment Retard Dev. Desabil Res Rev* 2004; 10: 122-125

## The Protection of the Right to Health Under Article 2 of the European Convention on Human Rights

**Marija Milenkovska PhD**

Assistant Professor, Faculty of Security-Skopje  
E-mail: marijamilenkovska@yahoo.com

---

**Abstract:** *In the case LCB v United Kingdom the European Court of Human Rights (Court) noted that: “the first sentence of Article 2 (of European Convention on Human Rights) enjoins the State not only to refrain from the intentional and unlawful taking of life, but also to take appropriate steps to safeguard the lives of those within its jurisdiction.” In the case Cyprus v Turkey the Court observed that: “an issue may arise under Article 2 of the Convention where it is shown that the authorities of a Contracting State put an individual’s life at risk through the denial of health care which they have undertaken to make available to the population generally.” It follows that the obligation to protect life has been extended in the sphere of health care by the Court. In this regard, the paper attempts to determine the existence, scope and breach of the positive obligation regarding provision of health care under Article 2 of the ECHR based on the jurisprudence (case-law) of the Court.*

---

**Key words:** ECHR, Article 2, Right to health, European Court of Human Rights.

---

### 1. Introduction

Described in the literature as “the most advanced and effective among the world’s systems of human rights” (Goldhaber, 2007), the European Court of Human Rights (ECtHR or Court) is always an appealing subject of scholarly interest. Over the years the ECtHR has developed a considerably body of case law by interpreting and implementing the European Convention on Human Rights (ECHR). In the field of the ECHR an interesting issue concerns the positive state obligations recognized by the ECtHR. The Court’s case law related to positive obligations according to the scholars “has contributed to the partial erosion of the generational gap between Convention rights and later generations of international human rights” (Mowbray, 2004). In this regard, the paper attempts to prove that the ECtHR has protected the right to health under the Article 2 of the ECHR (right to life) through an expansive interpretation of the this article and the positive obligation to protect life it imposes.

ECHR generally focuses on the protection of civil and political rights as opposed to social, economic and cultural rights. It results there from that social, economic and cultural rights (with few exceptions) are not within the jurisdiction of the ECtHR. However, having in mind the jurisprudence of the ECtHR and its “creativity regarding the interpretation and application of the Convention” (Mowbray, 2005) can we today decisively say that the Court does not provide for any protection of the most of the social rights? In fact, to what extent is it possible today to speak of fully isolated and independent sets of rights? As Landman (2006) observes “significant sections of the human rights community have challenged these traditional distinctions between ‘generations’ of human rights and have sought to establish the general claim that all rights are indivisible and mutually reinforcing. Such challenge according to him “suggests that it is impossible to talk about certain sets of human rights in isolation, since the protection of one right may be highly contingent on the protection of other rights” (Landman, 2006) as well as that “there is a false dichotomy between negative and positive rights that tends to privilege civil and political rights over economic and social rights” (Landman, 2006). The ECtHR (though without the required consistency) seems to be in line with the positions on the indivisibility of human rights. As Nifosi-Sutton concludes “the absence of most ESCR [economic, social and cultural rights] in the text of the ECHR has not prevented the Court from protecting social rights through expansive interpretations of Convention rights and the positive obligations they impose” (Nifosi-Sutton, 2010). For instance, the ECtHR in the case *Ariey v Ireland* considers that “the mere fact that an interpretation of the Convention may extend into the sphere of social and economic rights should not be a decisive factor against such an interpretation; there is no water-tight division separating that sphere from the field covered by the Convention.” The ECtHR adopted integrated approach of interpretation of the ECHR which “recognizes that, on one hand, the enjoyment of civil and political rights requires respect for and promotion of social rights, and on the other hand, that social rights are not second best to civil and political rights” (Ovey, White, 2006). This approach is “welcomed by some scholars as another way to give teeth to socio-economic rights by affording them indirect legal effect (Manotouvalou, Voyatzis, 2010).

Bearing in mind what has been said above; the paper argues that the right to health is protected under the Article 2 of the ECHR through expending of the positive obligation to protect life in the health care sector by the Court. This thesis is not a novelty in the human rights theory. An increasingly great number of authors (though some of them very cautiously) advocate the thesis that the State's positive obligation to protect life also applies in the health care sphere (Wicks, 2010; Mowbray, 2007; Akandji-Kombe, 2007; Harris, O'Boyle, Bates & Buckley, 2009; Croft, 2007) that is, that the right to health or health care has been indirectly protected by the ECtHR in several instances, including under the Article 2 of the ECHR (Brems, 2007). As I have mention above the paper supports this thesis and underlines the new developments in this area through analysis of the case law of the ECtHR on the Article 2 of the ECHR and reviews of the relevant literature. The main focus of this paper is: what is the content of the positive obligation regarding provision of health care under Article 2 of the ECHR? What are the forms of actions required of states under this Article in the health care sphere?

The paper is divided into three sections, all containing references to Court's case law. The first section of the paper considers the legal basis of the positive obligation to protect life under the Article 2 of the ECHR. The second section of the paper is the main part of the paper. It identifies the forms of positive action (obligations) required of the state under the Article 2 of the ECHR in the health care sphere. The paper concludes that that the ECtHR has protected the right to health under the Article 2 of the ECHR (right to life) through an expansive interpretation of the positive obligation to protect life it imposes. Furthermore, in this section it attempts to predict the future developments of the state obligation regarding provision of health care under Article 2 of the ECHR, bearing in mind the new body of Court' case law and limited resource of the state.

## 2. Positive obligation to protect life under Article 2 of the European Convention on Human Rights

The Article 2 (para.1) of the ECHR provides that "everyone's right to life shall be protected by law."In the case *L.C.B. v United Kingdom* the ECtHR found that the "first sentence of Article 2 § 1 enjoins the State not only to refrain from the intentional and unlawful taking of life, but also to take appropriate steps to safeguard the lives of those within its jurisdiction" (*LCB v UK*, 1998). In this way the Court has established a positive obligation of the state to protect the life of each individual within its jurisdiction. Such obligation as the ECtHR in the case *Osman v United Kingdom* observes "extends beyond its primary duty to secure the right to life by putting in place effective criminal-law provisions to deter the commission of offences against the person backed up by law-enforcement machinery for the prevention, suppression and sanctioning of breaches of such provisions" (*Osman v UK*,1998). A great number of researchers in this area such as Mowbray, 2004; Janis, Key & Bradley, 2008, Korff, 2006; Londono, 2009; Harris, O'Boyle, Bates & Buckley, 2009; Gordon & Ward, 2000; have recognised the existence of the State's positive obligation to protect life under Article 2 of the ECHR. Today, in the human rights theory, almost no one denies the existence of the positive obligation to protect life under Article 2 of the ECHR. However, serious disputes have escalated over its scope and contents. As Greer (2006) considers (in general) "even when a positive obligation has been officially recognized, its scope may be difficult to predict."

Simultaneously with the increased number of cases pertaining to Article 2 of the ECHR, the scope of the State's obligation to take the necessary steps and to protect the life of each individual within its jurisdiction also expanded. The ECtHR applies an extensive interpretation of the right to life in relation to the State's obligation to protect it. As the Court acknowledged in the case *Ciechońska v Poland* "such positive obligation has been found to arise in a range of different contexts examined so far by the Court"(*Ciechońska v Poland*, 2011). For instance, Article 2 implies the State's positive obligation to undertake preventive measures with the purpose to protect the life of an individual against a real and immediate risk deriving from the criminal activities by a third party of which risk it knew or should have known (see *Osman v UK*, 1998) or even to undertake preventive measures to protect the life of persons deprived of their liberty against themselves (see *Renolde v France*, 2008). The Court does not stop there. The State's positive obligation under Article 2 has also been found to be engaged in many other sectors (in the health sector, in relation to protection against environmental hazards, in respect of the management of dangerous activities), so that in the case *Öneryıldız v. Turkey* the ECtHR established "this obligation must be construed as applying in the context of any activity, whether public or not, in which the right to life may be at stake" (*Öneryıldız v. Turkey*, 2004). However, as the case *Ciechońska v Poland* points out the ECtHR imposed some boundaries on this obligation. Therefore, "bearing in mind in particular, the unpredictability of human conduct and operational choices which must be made in terms of priorities and resources" (*Ciechońska v Poland*, 2011) the ECtHR established that "the positive obligation to protect life should be interpreted "in such a way as not to impose an excessive burden on the authorities" (*Ciechońska v Poland*, 2011). Second,"the choice of

means for ensuring the positive obligations under Article 2 is in principle a matter that falls within the Contracting State's margin of appreciation" *Ciechońska v Poland*, 2011).

### 3. Right to health under Article 2 of the European Convention on Human Rights

In the case *Cyprus v Turkey* the applicant Government (Greece), inter alia, complained that the restrictions on the ability of the enclaved Greek Cypriots and Maronites to receive medical treatment and the failure to provide or to permit receipt of adequate medical services constitutes violation of the right to life safeguarded under Article 2 of the ECHR. Based on the material evidence provided, the ECtHR could not find an established practice of denying access to medical services to Greek Cypriots and Maronites in Northern Cyprus. Therefore, the ECtHR did not find violation of Article 2. Although in this case the Court found no violation of Article 2 of the ECHR, the case has a pioneering importance for the subject matter of interest to this paper. In this case the ECtHR undoubtedly points out "that an issue may arise under Article 2 of the Convention where it is shown that the authorities of a Contracting State put an individual's life at risk through the denial of health care which they have undertaken to make available to the population generally" (*Cyprus v Turkey*, 2001) noting in this connection the state positive obligation to protect life (to take steps to safeguard the lives of those within its jurisdiction). In this way the Court made its first more significant step towards the expansion of the State's positive obligation to protect life in the health care sphere. Simultaneously with the development of the jurisprudence under Article 2 of the ECHR, the Court's position strengthened that such an obligation of the State also applies to the health care sphere. As Wicks (2010) recognized "the relatively extensive case law under the ECHR on the issue of the positive obligations to preserve life has made clear that such obligations apply in the health care context."

The Court has undoubtedly closed the dilemma whether the Article 2 of the ECHR in relation to its positive aspect applies also to the health care sphere. However, there are serious dilemmas in relation to the scope of the State's positive obligation to protect life regarding the provision of medical care. Is the State obliged to provide a minimum level of health care available to the population generally? Is the State obliged to provide medical care only to the persons within its immediate jurisdiction (for example, those in custody), that is, can a State be held responsible under Article 2 of the ECHR only in the areas where it directly undertakes responsibility? Or, is the State, in the ultimate instance, obliged to provide medical care free of charge to each individual within its jurisdiction? What is the State's responsibility in case of death occurred as the result of negligence, or an error by the medical staff?

#### 3.1. The provision of a minimum level of health care by member states

The State may be held responsible if the life of an individual within its jurisdiction is at risk by the inability to access medical treatment which the State has envisaged to be made available to the population generally. However, does the Court define the extent of health care that the State is obliged to provide and make generally available under Article 2? Does the Court prescribe any minimum standards that the State should meet in the health care sphere? The formulation "health care which they [authorities] have undertaken to make available to the population generally" (*Cyprus v Turkey*, 2001) used by the ECtHR in the case *Cyprus v Turkey* implies that the states – signatories to the ECHR – enjoy certain discretion in determining the level of health care which they define as being available to the population generally. In the case *Cyprus v Turkey* the applicant criticizes the level of health care made available to the people of the northern part of Cyprus. However, the Court decided to leave the issue open and not to get involved in explicit debates. The Court "does not consider it necessary to examine in this case the extent to which Article 2 of the Convention may impose an obligation on a Contracting State to make available a certain standard of health care" (*Cyprus v Turkey*, 2001). Such a position taken by the Court leads to the conclusion that, still, under Article 2, there should be certain standard of health care made available generally (see for instance Harris, O'Boyle, Bates & Buckley, 2009) to the population in certain state. As Mowbray (2007) observes "the Court went on tantalizingly to suggest that Article 2 may also require the provision of a minimum level of health care by Member States." The Court's cautiousness and the indirect suggesting in relation to this is expected, and even desired, having in mind the specificity of the subject matter, the States' limited resources, and the great economic differences among the European states.

#### 3.2. Obligation to protect the health and well-being of detainees

In the case *Makharadze and Sikharulidze v Georgia* the ECtHR acknowledged that "the obligation to protect the life of individuals in custody also implies an obligation for the authorities to provide them with the medical care necessary to

safeguard their life" (*Makharadze and Sikharulidze v Georgia*, 2011). Such a consideration by the Court is fully understandable having in mind the specific situation these persons are in, which makes it objectively difficult for them or prevents them from protecting their rights and satisfying their needs on their own initiative, including the provision of the required health care. As the ECtHR stated "the persons in custody are in a particularly vulnerable position and the authorities are under an obligation to account for their treatment" (*Kats and others v Ukraine*, 2009). According to the Court "a sharp deterioration in a person's state of health in detention facilities inevitably raises serious doubts as to the adequacy of medical treatment there" (*Makharadze and Sikharulidze v Georgia*, 2011). Therefore "where a detainee dies as a result of a health problem, the State must offer a reasonable explanation as to the cause of death and the treatment administered to the person concerned prior to his or her death" (*Makharadze and Sikharulidze v Georgia*, 2011).

The main characteristic of the right to health in custody or in prison is the timely access to doctors. So, in the case *Anguelova v Bulgaria* the Court found violation of the right to life with regards to the failure by the authorities to provide timely medical care to the applicant's son who died in police custody. The Court in this case in particular criticises the delay in providing the medical care to the detainee, that is, complete absence of reaction of any kind by the authorities in a given period (from 3 to 5 a.m.), when it was obvious that the person's state of health was deteriorating. Besides timely, the State is obliged to also provide adequate medical care to the persons in its immediate jurisdiction. So, in the case *Makharadze and Sikharulidze* the Court was faced not with the issue whether the first applicant was not provided with medical care generally, but whether the provided medical service was adequate. Whether the medical care provided to the detainees by the authorities is adequate or not is a very complex issue for the Court. Therefore, the Court reserves, "in general, sufficient flexibility, defining the required standard of health care, which must accommodate legitimate demands of imprisonment but remain compatible with the human dignity and the due discharge of its positive obligations by the State, on a case-by-case basis." (*Makharadze and Sikharulidze v Georgia*, 2011). Thus, in the case *Dzieciak v Poland* the Court had considered that "the lack of cooperation and coordination between the various state authorities, the failure to transport the applicant to hospital for two scheduled operations, the lack of adequate and prompt information to the trial court on the applicant's state of health, the failure to secure him access to doctors during the final days of his life and the failure to take into account his health in the automatic extensions of his detention amounted to inadequate medical treatment" (*Dzieciak v Poland*, 2008). Therefore, it found the violation of the Article 2 of the ECHR. Although the Court enjoys certain discretion as to the definition of the required standard of health care in custody (pursuant to ECHR) and its final decision depends on the circumstances of each individual, the Court is not willing to accept the following omissions in the medical treatment of detainees: inconsistency in detainee's medical records (*Tararyeva v Russia*, 2007); basic treatment of detainee who suffers from serious disease such as HIV (*Kats and others v Ukraine*, 2009); omission in supervision.

The competent authorities should dedicate special attention to the persons (detainees) who are prone to suicide as a particularly vulnerable category. As the ECtHR observes "there are general measures and precautions which will be available to diminish the opportunities for self-harm, without infringing personal autonomy" (*Renolde v France*, 2008).

Based on what has been said above, the question is raised whether ECHR generally demands that a detainee be freed on the grounds of health condition. Based on the Court's case law one can conclude that ECHR in general does not impose such an obligation on the State. However, "although the Convention cannot be construed as laying down a general obligation to release detainees on health grounds, it nonetheless imposes an obligation on the State to protect the physical well-being of persons deprived of their liberty, for example by providing them with the requisite medical assistance" (*Dzieciak v Poland*, 2008). The Court is quite clear that "whenever authorities decide to place and maintain a seriously ill person in detention, they must demonstrate special care in guaranteeing such conditions of detention as correspond to his special needs resulting from his illness" (*Dzieciak v Poland*, 2008).

### 3.3. Duty to take steps to prevent health risks to individuals

In the case *L.C.B. v United Kingdom* the applicant complained "that the respondent State's failure to warn and advise her parents or monitor her health prior to her diagnosis with leukaemia in October 1970 had given rise to a violation of Article 2 of the ECHR" (*L.C.B. v UK*, 1998). Namely, the applicant claim that the State did not do all that could have been required of it to prevent its life from being avoidably put at risk (through exposure of her father on radiation during the United Kingdom's nuclear test on Christmas Island). The Court among others things examines "whether, in the event that there was information available to the authorities which should have given them cause to fear that the applicant's father had been exposed to radiation, they could reasonably have been expected, during the period in question, to provide advice to her parents and to monitor her health" (*L.C.B. v UK*, 1998). The ECtHR does not find causal link between the exposure of a father on radiation and applicant disease. However, the Court attitude in this case suggests that the Article



2 of the ECHR requires the authorities to prevent health risks to individuals, including advising them how to avoid the treats to health.

Duty to take steps to prevent health risks also includes state's obligation "to make regulations compelling hospitals, whether public or private, to adopt appropriate measures for the protection of their patients 'lives." (*Byrzkowski v Poland*, 2006). The Court's case law shows that "the acts and omissions of the authorities in the field of health care policy may in certain circumstances engage their responsibility under the positive limb of Article 2" (*Byrzkowski v Poland*, 2006). However, as scholars observe "to impose the identical obligations, as required by Article 2, on health care professionals as are imposed on state agents when carrying out, *inter alia*, terrorist operations, is surely to impose unreasonable burdens?" (Cevalier-Watts, 2010). The Court addressed the same dilemma and in the case *Byrzkowski v Poland* established that where a state "has made adequate provision for securing high professional standards among health professionals and the protection of the lives of patients, it cannot accept that matters such as error of judgment on the part of a health professional or negligent co-ordination among health professionals in the treatment of a particular patient are sufficient of themselves to call a Contracting State to account from the standpoint of its positive obligations under Article 2 of the Convention to protect life" (*Byrzkowski v Poland*, 2006).

### 3.3.1. Effective investigation in case of death of an individual under the care and responsibility of health professionals

The ECtHR in the case *McCann and others v United Kingdom* stated that "the obligation to protect the right to life under this provision (art. 2), read in conjunction with the State's general duty under Article 1 (art.2+1) of the Convention to 'secure to everyone within their jurisdiction the rights and freedoms defined in [the] Convention', requires by implication that there should become form of effective official investigation when individuals have been killed as a result of the use of force by, *inter alios*, agents of the State" (*McCann and others v UK*, 1995). Later, in the case *Ülkü Ekinci v. Turkey*, the Court established "that this obligation is not confined to cases where it has been established that the killing was caused by an agent of the State" (*Ülkü Ekinci v. Turkey*, 2002). In this way, the Court expanded this obligation also to situations where the State is not directly responsible for the deprivation of life of a person within its jurisdiction. Simultaneously with the development of the jurisprudence the scope of the State's obligation to conduct an efficient investigation under Article 2 of the ECHR also expanded. The Court has expanded the State's obligation to conduct an official efficient investigation into all cases of deprivation of life (regardless of whether it is deprivation of life by agent of the State or not, or whether it is intentional or unintentional murder), even "to situation where it has not been conclusively established that a person has been killed" (Mowbray, 2007). Such developments raise an issue whether the State's positive obligation to conduct an efficient investigation also covers the situations when a person dies in a hospital, that is, under the care and responsibility of health professionals. The ECtHR answered this question affirmatively.

If we are to analyse the relevant Court practice (for example, *Calvelli and Ciglio v Italy*, 2002; *Šilih v Slovenia*, 2009; *Vo v France*, 2004) we shall reach several conclusions in relation to the State's obligation to conduct an efficient investigation in the health care sector:

- the State is obliged to conduct an efficient investigation when a person dies under the care and responsibility of health professionals (both in state-run and privately owned hospitals). As the ECtHR concluded the state obligation "to take appropriate steps to safeguard the lives of those within its jurisdiction also require an effective independent judicial system to be set up so that the cause of death of patients in the care of the medical profession whether in the public or the private sector, can be determined and those responsible made accountable" (*Vo v France*, 2004).

- in case of medical error, that is, if the infringement of the right to life or to personal integrity is not caused intentionally, the positive obligation imposed by Article 2 shall not require obligatory conduct of criminal investigation. In this context, in the case *Calvelli and Ciglio* the ECtHR held that "in the specific sphere of medical negligence the obligation may for instance also be satisfied if the legal system affords victims a remedy in the civil courts, either alone or in conjunction with a remedy in the criminal courts, enabling any liability of the doctors concerned to be established and any appropriate civil redress, such as an order for damages and for the publication of the decision, to be obtained. In addition it noted that "disciplinary measures may also be envisaged" (*Vo v France*, 2004).

- an efficient investigation in case of individual death in a hospital would contribute for a greater safety in using health care services by the population generally. As the ECtHR in the case *Šilih v Slovenia* observes "knowledge of the facts and of possible errors committed in the course of medical care are essential to enable the institutions concerned and medical staff to remedy the potential deficiencies and prevent similar errors" (*Šilih v Slovenia*, 2009).

### 3.4. Resource constraints versus right to health

In the case *Nitecki v Poland* the applicant who was not in the position to pay the required 30% of the price of the drug which was necessary for his life complained that by failing to refund the full amount of the drug price the State is in violation of Article 2 of the ECHR. The Court did not dispute that the State's positive obligation expands also in the health care sphere or that certain infringements by the authorities in the sphere of health care policies under certain circumstances may hold the State responsible. However, the Court, taking into consideration all the specific circumstances in the case (the applicant has access to a standard of health care offered by the service to the public; under the standard of care available to all patients, the drug refund scheme provided for a 70% refund of drug price, etc.) has found the application ungrounded and therefore dismissed it. Thereby the Court pointed out that "bearing in mind the medical treatment and facilities provided to the applicant, including a refund of the greater part of the cost of the required drug, the Court considers that the respondent State cannot be said, in the special circumstances of the present case, to have failed to discharge its obligations under Article 2 by not paying the remaining 30% of the drug price" (*Nitecki v Poland*, 2002). The Court took similar position in the case *Pentiacova and 48 others v Moldova* where the applicants complained, inter alia, at the violation of the right to life by the State as the State failed to provide all the drugs necessary for haemodialysis at the State's expense, and also provided poor economic support to the dialysis sector in the hospital where they were being treated. The Court did not grant the application under Article 2. Based on this it can be concluded that the Court fails to demonstrate willingness to get involved in issues related to insufficient public funding for the medical treatment or allocation of resources within the health care system. As some scholars observe "allegations that poor or negligent health care have resulted in death may thus give rise to Article 2 issues, but as the Court made clear in its decision in *Pentiacova and Others v Moldova* (2005), it is recognized that the allocation of scarce health care resources is not an area an international tribunal can readily interfere with." (Murdoch, Straiteanu, Vedernikova, 2008). The State enjoys a wide margin of appreciation in this area. As it is mentioned above the State's positive obligation to protect life (in general) is interpreted in such a way as not to impose an excessive burden on the authorities. The operational measures for its realisation (in relation to which the country enjoys margin of appreciation) depend on the priorities and resources available to the State. In this regard, Wicks (2010) identified some important considerations:

*"It should be remembered; however, that any positive obligation to preserve life under Article 2 is restricted to what is reasonable and it may be the view of what is reasonable is an issue that an international court wishes to leave on national authorities. It will be vital, however, that the discretion given to the states on this issue is not absolute. What is reasonable should be determined on objective basis, albeit, taking into account the specific situation pertaining in the respondent state (for example the scarcity of public resources)."*

## 4. Conclusion

In order to prove that the right to health is protected under the Article 2 of the ECHR the paper analysed the case law of the ECtHR with regard to this article. The analysis showed that ECtHR has protected the right to health under the Article 2 of the ECHR (right to life) through an expansive interpretation of this article and the positive obligation to protect life it imposes. The State's positive obligation to protect life applies in the health care sphere too. Positive obligation to provide health care under the Article 2 includes requirement upon state to provide timely and adequate health care to detainees, as well as to prevent health risks to individuals (including to advise individuals how to avoid threats to health and to impose regulations that provide high professional standards among health professionals and the protection of the lives of patients in the hospitals). It also includes requirement upon the authorities to conduct effective investigation when individual dies under the care and responsibility of health professionals.

The Court's attitude in the case *Cyprus v Turkey* implies that the state is obliged to provide a certain standard of health care that is available generally. However, it does not define the extent of health care that the State is obliged to provide and make generally available under Article 2. The states (signatories to the ECHR) enjoy certain discretion regarding this issue. The case law of the ECtHR points out that the Court, also, fails to demonstrate willingness to get involved in issues related to insufficient public funding for the medical treatment or allocation of medical care resources. The State enjoys a wide margin of appreciation in this area. In the future an expansion of applications can be expected from persons who, facing the brutal reality that they cannot (financially) afford the medical treatment which they desperately need, will seek their final resort in the Court and its possibility to apply expanded interpretation of the positive obligation to protect life under Article 2. From this point of view it is hard to predict how far the ECtHR will develop the positive obligation regarding



provision of health care under the Article 2 without putting excessive burden on the state, bearing in mind, particularly limited state resources.

## References

- Akandji-Kombe, J. F.. (2007). Positive Obligations under the European Convention on Human Rights, A guide to implementation of the European Convention on Human Rights. Human Rights Handbooks No.7, Council of Europe.
- Brems, E. (2007). Indirect Protection of Social Rights by the European Court of Human Rights. In Barak-ErezD.&Aeyal M.G., (Eds.). Exploring Social Rights, Between Theory and Practice. (pp. 135 – 167). Oxford: Hart Publishing.
- Cevalier-Watts, J.(2010).Effective Investigations under Article 2 of the Euroean Convention on Human Rights: Securing the Right to Life or Onerous Burden on a State, Oxford Journals, European Journal of International Law, Volume 21, Issue 3,701-721.
- Croft, J. (2003). Health and Human Rights, A Guide to Human Rights Act. London: Nuffield Trust.
- Golghaber, M. D. (2007). A People's History of European Court for Human Rights. London: Rutgers University Press.
- Gordon, R., Ward, T. (2000). Judicial Review and Human Rights Act. London: Gavenndish Publishing Limited, London.
- Greer, S. (2006). European Convention for Human Rights: Achievements, Problems and Prospects. New York: Cambridge University Press.
- Harris, O'Boyle, Bates, Buckley. (2009). Harris, O'Boyle &Warbrick: Law of the European Convention on Human Rights. Oxford: Oxford University Press.
- Janis. W. M., Key, S. R. &Bradle W. A., (2008),European Human Rights Law, text and materials, 3<sup>rd</sup> edition, Oxford, Oxford University Press.
- Manotouvalou, V., Voyatzis, P., The Council of Europe and Protection of Human Rights: a System in Need of Reform. (2010). In Joseph S.McBeth A. Research Handbook on International Human Rights Law, (pp. 325-352). Cheltenham: Edward Edglar.
- Kennedy, E. (2009). Health Care as Basic Human Right: Moving from Lip Service to Reality, Harvard Human Rights Journal, Vol.22, 166 – 168.
- Korff, D. (2006). The right to life, A guide to implementation of Article 2 of the European Convention on Human Rights, Human Rights Handbooks No.8, 1<sup>st</sup> edition, Council of Europe.
- Landman, T. (2006). Studying Human Rights, New York, Routledge, Taylor and Fonci Group.
- Londono, P. (2009). Developing Human Rights Principles in Cases of Gender Based Violence: *Opuz v Turkey* in the European Court on Human Rights, Human Rights Law Review,9:4,657-667.
- Mowbray, A. (2004). The Development of Positive Obligations Under the European Convention on Human by European Court for Human Rights,Oxford/Portland/Oregon, Hart Publishing.
- Mowbray, A. (2007). Cases and Materials on European Convention on Human Rights, 2<sup>nd</sup> Edition, New York, Oxford University Press.
- Mowbray, A. (2010). A Study of the Principle of Fair Balance in the Jurisprudence of the European Court of Human Rights, *Human Rights Law Review*, 10:2, 289-317.
- Mowbray, A. (2005).The Creativity of the European Court of Human Rights, *Human Rights Law Review*, 5, 57-79.
- Murdoch, J., Straisteanu D.I., Vedernikova, D.(Eds.). (2008). INTERIGHTS Manual for Lawyers - The Right to Life under European Convention on Human Rights (Article 2), London: INTERIGHTS.
- Nifosi-Sutton, I. (2010). The Power of the European Court of HumanRights to Order Specific Non-Monetary Relief: a Critical Appraisal from aRight to Health Perspective, Harvard Human Rights Journal, Vol.23, 52-73.
- Ovey, C., White R (2006). The European Convention on Human Rights, New York, Oxford University Press.
- Wicks, E. (2010). The Right to Life and Conflicting Interests, Oxford, Oxford University Press.
- Wicks, E. (2010). Positive and Negative Obligations under the Right to Life in English Medical Law: Letting Patient Die. In York J. (Ed.). The Right to Life and the Value of Life: Orientations in Law, Politics and Ethics. (pp.311-337). Ashgate Publishing Limited.
- [www.echr.coe.int/ECHR/EN/Header/Case-Law/Hudoc/Hudoc+database](http://www.echr.coe.int/ECHR/EN/Header/Case-Law/Hudoc/Hudoc+database)

## Cases

- Anguelova v Bulgaria* , no. 38361/97, 13 September 2002.
- Byrzikowski v Poland* , no. 11562/05, 27 June 2006.
- Calvelli and Ciglio*, no. 32967/96, 12 January 2002.
- Ciechońska v Poland*, no. 19776/04, 14 June 2011.
- Colak and Tzaakiridis v Germany*, no.77144/ 01 and 35493/05, 5 March 2009.
- Cyprus v Turkey*, no. 25781/94, 10 May 2001.
- Dzieciak v. Poland*, no. 77766/01, 9 December 2008
- Kats and Others v. Ukraine*, no. 29971/04, 18 December 2008
- Keenan v United Kingdom*, no. 27229/95, 3 April 2001
- L.C.B. v United Kingdom*, no. 23413/94, 09 June 1998.
- Makharadze and Sikharulidze v. Georgia*, no. 35254/07, 22 November 2011.
- McCann and others vUnited Kingdom*, no.18984/91, 27 September 1995.

*Naumenko v. Ukraine*, no. 42023/98, 10 February 2004.

*Nitecki v Poland*, no.65653/01, 21 March 2002.

*Öneryıldız v. Turkey*, no. 49939/99, 30.11.2004.

*Osman v United Kingdom*, no. 23452/94, 28 October 1998.

*Pentakova and 48 others v Moldova*, no.14462/03, 4 January 2005.

*Renolde v France*, no. 5608/05, 16 October 2008.

*Šilih v Slovenia*, no. 71463/01, 9 April 2009.

*Tararyeva v Russia*, no. 4353/ 03, 14 March 2007.

*Ülkü Ekinci v Turkey*, no.27602/95, 16 October 2002

*Vo v France*, no. 53924/00, 8 July 2004.

## Post Partum Depression and Social Support. An Exploration of Experiences of New Mothers with Postpartum Depression in Tirana

Daniela Meçe

Aleksander Moisiu University, Durres, Albania  
E-mail: danielamece@gmail.com

---

**Abstract:** The main purpose of this study was to make an exploration of the experiences of new mothers with postpartum depression symptoms. This study focuses on the perceptions of new mothers of the relationship they have with themselves, the newborn, and their close family members. The study evaluates the importance of social support in development of postpartum depression and facing stressful psychosocial factors. The study was conducted in Tirana and the target group was made of new mothers, six weeks to one year after birth. The Edinburgh Postpartum Depression Scale (EPDS) was used to assess post partum depression. Significant Others Scale (SOS) was used to assess social support. In depth interviews are used to obtain information on the experiences of women with PPD. Results of the study showed lack of information related to PPD. Interviews provided a lot of information related to the situation of new mothers with PPD and the factors that may have affected their condition. Such are: child health, financial problems, problems with the spouse, and lack of social support. Social support as one of the main variables in the study presented was an important factor in the development of PPD. The study showed a connection between lack of social support and PPD. This study revealed skepticism of new mothers with PPD symptoms to seek specialist help and to talk about their problems with people outside of the family. The study confirmed the fact that post partum depression is currently a problem for new mothers.

**Key words:** Post partum depression, new mother, social support

---

### Introduction

Unfortunately not all women consider the period after birth as an exciting and beautiful experience. When a child is born a woman's life experiences major changes. While many women can experience joy and happiness, other may experience feelings of loss, uncertainty and fear.

#### *What is postpartum depression?*

Although postpartum depression is often described as a series of difficulties that occur in post-natal period (first year after birth), we refer specifically to not psychotic, unipolar depression (Beck, 2006).

Postpartum Depression (PPD) is a depression episode that begins within 6 months after birth and matches the criteria of DSM - IV for major depression without psychotic consequences (APA, 1994). The prevalence of PPD is about 8-35% depending on the method used for evaluation (Milgrom et al., 2006). PPD occurs when there is an increase in demands on a new mother due to the child development. Children whose mothers are experiencing PPD may exhibit behavioral problems, cognitive and emotional problems (Cooper & Murray, 1998). Lack of diagnosis of PPD can affect the mother, her child, family, and society through social dysfunction, illness, and death or treatment costs. (Mrazek & Haggarty, 1994).

According to researches there are four factors that are consistently associated with PPD: lack of social support in particular that of the spouse (Collins et al., 1993), previous history of depression or other emotional problems (Wilson et al., 1996), problems during the process of birth and child health problems (Campbell & Cohn, 1991), and stressful life events (Hickey et al., 1997).

However none of the above factors can be used to predict which women will develop PPD.

Some studies showed that unemployment and unwanted pregnancy are associated with risk of developing PPD (Lane et al., 1997). Biological factors associated with the change of hormone levels after birth may also contribute to the risk of developing PPD (Susman and Katz, 1988), however the data indicate that the biological factor is not a significant factor for predicting PPD (Harris, 1994).

PPD is not associated with family history of depression or other emotional problems (Troutman and Cutrona, 1990), age, number of previous children or marital status (Paykel et al., 1980, Hopkins et al., 1984).

PPD related studies are mainly done in Western countries; few are made in developing countries. The lack of studies on psychological problems in developing countries is a gap in the evaluation of global situation (WHO, 1998: Global Forum for Health Research, 2000).

Currently no study on the PPD is done in Albania, as in many other developing countries. Mainly the focus is placed on medical care and little is done to meet the psychological and social needs of new mothers.

### *The purpose of the study*

The main purpose of this study was to make a deep exploration of the experiences of new mothers with postpartum depression symptoms, focusing on new mothers' perceptions of the relationship they have with themselves, the newborn and their close family members. The study evaluates the importance of social support in development of postpartum depression and facing stressful psychosocial factors.

The results from this study will serve to build another study in a larger population that will contribute to better understanding of this problem. Better understanding of the problem, factors that affect women's experiences with PPD will serve for early identification of symptoms and early treatment of mothers, children, and families.

### *Definitions*

With *social support* we will understand the new mother's perception of emotional and physical support from family members (spouse, parents) or other significant persons close to her (ex, assistance in child rearing, assistance in home works, emotional support, proximity and frequency of social contact with spouse, parents, friends and family members).

## **Methodology**

### *Methods*

Edinburgh Postnatal Depression Scale (EPDS) is used for PPD screening. EPDS is one of the best standardized questionnaires used to assess PPD (Cox et al., 1987). Built with 10 self report questions, EPDS has shown high levels of reliability and validity.

The Significant Others Scale (SOS) (Power et al., 1988) was used to elicit information on the perceived form and function of social support. It looks at actual and ideal levels of social support for a range of key relationships in a person's life.

In-depth interviews are also used to get extended information about the experiences of women with PPD.

### *Sample*

Ten women from Tirana that after using the EPDS resulted with signs of PPD became part of the study. They were new mothers, 23 to 43 years old, six weeks to 1 year after birth. Participants were recruited in child counseling centers in Tirana, maternity hospitals, and maternity health centers.

### *Procedure and Data Collection*

New mothers 6 weeks to a year after birth have initially completed EPDS, then 10 of them who had signs of PPD filled the SOS questionnaire and were interviewed.

Questionnaires and Interviews are done in private rooms, suitable for the participants and the researcher after the informed consent was taken from participants. Questionnaires and Interviews were recorded transcript and coded to preserve the anonymity of the respondents.

### *Analysis*

After transcription, data obtained were analyzed literally and then some problems and major issues were identified. The main issues were divided into common categories of group ideas. All data received from each interview were compared with each other and three main categories were identified that are shown in the results.

## Results

The results are the product of in-depth interviews and the questionnaire of social support.

The following main categories were identified from the data analysis of the interviews and the questionnaires: 1) Perception of self, 2) Factors that may have influenced the development of PPD, 3) Mother perception of Social Support, 4) Facing the situation.

### *Perception of self*

What participants reported for the period after birth is a situation where they feel empty, unhappy, uneasy, left aside, lonely, haunted, blaming themselves for the situation where they are and feeling guilty about the fact that they are not properly taking care for the newborn.

All respondents expressed hesitation to meet people, even close friends and family. E said: "I have no desire to meet anyone; I don't want them to think I am crazy."

Also there is a lack of desire to go out and to engage in recreational activities. All participants had a low self esteem and did not like their appearance. D says: "I have been very beautiful before, do not look at me now that I am so ugly." Two of the participants had had suicidal thoughts.

Feelings of failure make them not to take the initiative because they think it will not accomplish anything. This situation is characterized by a loss of interest for individual achievement in the future, as may be returning to work.

The interviewed mothers had not heard about postpartum depression before and how PPD is treated, this condition was unexpected for them.

Two of the participants even though they had other children before, they have experienced PPD for the first time.

### *Factors that may have influenced the development of PPD*

Participants in the study reported various factors that might have influenced their situation.

Some of the factors mentioned during the interview were, relationship with the husband, financial problems, problems with the child rising, problems with the child health etc.

One of the respondents reported worse relationship with her husband at the end of pregnancy, and an unplanned pregnancy. Some of the respondents indicate a difficult financial situation in their families.

On see of the interviewees sees the problem to the health of the child, who was born premature. The new born and his mother stayed at the hospital for three weeks and yet the child survival was not sure by the doctors.

Almost for all the interviewed women inability to care for the newborn and to control negative emotions make them feel guiltier.

None of the interviewed women or their close family members has had mental health problems before.

### *Social support*

The husband and the mother are two main sources of support for new mothers.

It is noticed in almost all cases the lack of support from family members especially the husband, the element that aggravates their situation.

The participants in the study see the support from the spouse as the most significant and the most important source of support.

Emotional support from a mother may be unique due to their lived experience of motherhood and having mothered the new mother.

Other important people for their support are other women as sisters or friends. Friends that have children by themselves can be a source of information support.

In all cases the perceived support is lower than the desired support.

Often the presence of other persons in the home appears more as a source of stress and fatigue than a contributing factor in passing over the situation.

Elements of social support are: emotional support, practical support and informational support.

The husband is a source of the practical and emotional support. Mother is a source of practical and emotional support and friends provide emotional support of information.

*Facing the situation:*

The last category reflects the ways the respondents have faced their situation.

Only one of the respondents sought specialist help to cope with the situation where she was. Although all the others were referred to centers where they could receive special assistance they refused to do so.

They refused to get help because they were afraid their problems could not be understood and they will be prejudged. Some of them are afraid that people will think they are not able to raise their child.

B says that she doesn't want to go to the specialist because she is afraid that people will think she is crazy.

M says: "I do not have time to think about myself". She was very involved in child rearing, and other commitments. "I feel that something is wrong but I cannot do anything about it right now."

Even they refused to receive the specialist assistance they were looking for support from their husbands, their mothers, friends and other new mothers. They all agreed the real source of strength to cope with this situation was the small child.

## Discussion

The study presented extended information on the perceptions and experiences of women with PPD about the situation, psychosocial factors that have influenced this situation the ways of coping with PPD and sources of social support.

Post partum depression was presented by the participants as an unexplored land that wasn't expected to be so full of surprises, anxiety, and fear.

The study showed lack of knowledge and information regarding PPD. A dominant factor that is mentioned by all respondents is being unprepared about the situation they were in.

Interviewed presented a broad framework of the situation where they were and factors that may have affected their condition. Such were: child health, financial problems, problems with spouse, and lack of social support. Hormonal changes as variable was not taken in consideration in this study. The literature suggests that there are many factors, but not a dominant one that can determine the PPD.

Social support as one of the key variables in the study presented as an important factor in the development of PPD. The study showed a link between lack of social support and PPD.

Skepticism to seek specialist help and to talk about their problems with people outside the family is noted during this study. This can be a cultural factor but also is an element that speaks for the stigma against mental health problems.

## Conclusions

- PDP is a problem and affects the everyday life of women who experience it and their family.
- The main causes of PPD are the lack of social support, child health, financial problems, and marital problems.
- There is skepticism to seek specialized help
- More should be done in Tirana to inform new mothers about the problems associated with PPD and the need for treatment.
- Another study in a larger population will contribute to better understanding of this problem and to address solution. Better understanding of the problem, factors that affect women's experiences with PPD will serve for early identification of symptoms and early treatment of mothers, children and families.

## References

- APA, Diagnostic and Statistical Manual of Mental Disorders (4th edn). American Psychiatric Association, Washington, D.C., 1994.
- Beck, C. T., Postpartum depression. Its isn't just the blues. *American Journal of Nursing*. 12(4), 453-472, 2006
- Campbell SB, Cohn JF. Prevalence and correlates of postpartum depression in first-time mothers. *Journal of Abnormal Psychology* 1991;100:594-599.06 (5), 40-50
- Cooper PJ, Murray L. Fortnightly review: Postnatal depression. *BMJ*. 1998;316:1884-1886.
- Collins NL, Dunkel-Schetter C, Lobel M, Scrimshaw SC. Social support in pregnancy: psychosocial correlates of birth outcomes and postpartum depression. *Journal of Personality and Social Psychology*. 1993;65:1243-1258

- Cox JL, Holden JM, Sagovsky R. Detection of postnatal depression: Development of the 10-item Edinburgh Postnatal Depression Scale. *Journal of Psychiatry*. 1987;150:782–786
- Global Forum for Health Research , The 10/90 Report on Health Research. Geneva, 2000
- Harris B. Biological and hormonal aspects of postpartum depressed mood. *Britanic Journal of Psychiatry*. 1994;164:288–292.
- Hopkins J, Marcus M, Campbell SB. Postpartum depression: a critical review. *Psychology Bulletin*. 1984;95(3):498–515.
- Hickey A, Boyce PM, Ellwood D, Morris-Yates AD. Early discharge and risk for postnatal depression. *Medical Journal Aust*. 1997;167:244–247
- Lane A, Keville R, Morris M, Kinsella A, Turner M, Barry S. Postnatal depression and elation among mothers and their partners: prevalence and predictors. *Journal of Psychiatry*. 1997;171:550–555
- Milgrom, J., Ericksen, J., McCarthy, R., & Gemmill, A. (2006). Stressful impact of depression on early mother–infant relations. *Stress & Health: Journal of the International Society for the Investigation of Stress*, 22(4), 229-238
- Mrazek PJ, Haggarty RJ, Reducing risks for mental disorders: frontiers for preventive intervention research. IOM, The National Academy of Sciences, United States of America, 1994
- Paykel ES, Emms ES, Fletcher J, Rassaby ES. Life events and social support in puerperal depression. *Journal of Psychiatry*. 1980;136:339–346.
- Speziale, H.S. & Carpenter, D. R. *Qualitative Research in Nursing* (4th ed.). Philadelphia: Lippincott Williams & Wilkins, 2007.
- Susman VL, Katz JL. Weaning and depression: another postpartum complication. *American Journal of Psychiatry*. 1988;145:498–501
- Troutman BR, Cutrona CE. Nonpsychotic postpartum depression among adolescent mothers. *Journal of Abnormal Psychology*. 1990;99:69–78.
- Wilson LM, Reid A, Midmer DK, Biringer A, Carroll JC, Stewart DE. Antenatal psychosocial risk factors associated with adverse postpartum family outcomes. *CMAJ*. 1996;154:785–799

## A Competitiveness Analysis of Durres City

**Boriana Golgota**

E-mail: boragolgota@uamd.edu.al

**Alma Golgota**

E-mail: almagolgota@uamd.edu.al

**Ermal Spahiu**

E-mail: erispahiu@hotmail.com

"Aleksander Moisiu" University Durres, Tirana, Albania

---

**Abstract:** This paper takes in consideration our hometown city, Durres. It is the second largest city of Albania, and the most ancient one. Durres is located in the north-western part of the Western Lowland of Albania. The historical development of the city of Durres is rooted in early connection with other Albanian and foreign cities, because of its suitable location in the region. The port of Durres is the biggest port in Albania, in which export and import processes is regularly handled. This paper includes a historical analysis of Durres city, looked under city's development since the period after the World War II until nowadays. As many other major Albanian cities, Durres has passed through an uncontrolled urban development in the last twenty years. The change of mono system into pluralism, from 1990, and the application of the economical reforms of the trade were accompanied with the appearance of many problems. Regarding to the urban city transformation, the period of transition led to a high city urban growth and densification. Illegal buildings were constructed in previously green areas, such as in the old beach. Is this uncontrolled urban development also influenced the informal settlements in industrial zones, such as the one in Spitalla, Porto Romano, and Keneta. Ongoing these deep change processes, unemployment rate has suffered significant decline. Through a table we can demostate the city life cycle of Durres city. Moreover, analyzing the competitive capacities of Durres, we make a competitiveness analysis of Durres city with two other national and regional competitive cities: Tirana and Istanbul, highlighting the stong and weak points of these capitals.

**Keywords:** urban development, urban transformation, city life cycle, urban competitiveness;

---

### Introduction

For this paper we are taking in consideration the city of Durres. It is the second largest city of Albania, and the most ancient one. Durres is located in the north-western part of the Western Plain of Albania. The region is bordered north by Lezha, south and east by Tirana, and west by the Adriatic Sea. Durres region includes two districts, Durresi and Kruja, in which are 6 municipalities and 10 communes. The Durres city area is about 46.1 m2, which consists of 10.67% of the total region area. The total number of population of the region is 303742, while the population of the city of Durres itself is about 203550 residents. The city of Durres has a Mediterranean climate with an average annual rainfall figure of 989 mm.

As we see the historical development of the city of Durres we can distinguish the city early connection with other Albanian and foreign cities, because of his suitable location in the region. This has helped Durres to be a competitive city in all the area of the region. We would like to start the analysis from the time of 1945 when Albania became finally an independent state.

During the period of 1945 – 1990 Albania was a socialist country. The economy was oriented totally toward the state property, so there was a totalitarian centralized socialist economy. The priority of the government was to grow the economic level of the country in general and of Durres in particular. In Durres were settled and developed some light industry, such as plastic factory, cigarette industrial factory ( Nish Cigare ), factory of tobacco fermentation, the factory of collection and drying of medicinal plants, factory of producing animal food ( FUB ), ALB-export in which were gathered and exported goods. It was settled also chemical industry for producing agriculture pesticides, soda, pharmaceutical productions etc; mechanical industry for producing and repairing agricultural mechanisms, site marine boats repair, etc.

The port of Durres was the biggest port in Albania, in which export and import processes were regularly handled. These fundamental evolutions led in many changes in social values, technology and demography. Government attempted to create an equal standard of living for all citizens, so not to have a high inequality, even though the welfare



was in very low rates. The wrong way of creating a totalitarian centralized system from the government destroyed the free initiative. Therefore there were no private firms. The rivalry among factories was only in overcoming the government rates for production. During the first ten years period there some machinery were imported. Technicians used to study these machineries and tried to produce similar vehicles. This was determinant in increasing the quality and skills of the labor force. Yet there was much to be desired in the technology innovations. The public transport was oriented only in bus and train transport, which were widely used.

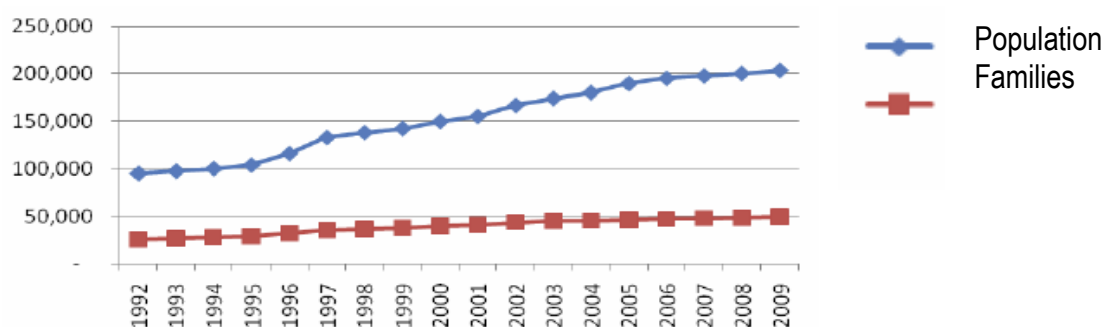
In the socialist period the population was oriented to go where the jobs were opened from the government. Therefore there was an inner demographic movement from other small cities to the city of Durres. The role of the government here was very strong, because it was a controlled movement according to the requirements of the city. As there were many new factories opened, the working conditions were inadequate. The employees worked in prolonged hours and requirements and regulatory standards were kept at high level, while privileges were kept very low (like workspaces, food, recreation areas etc).

In conclusion for this period of time, Durres passed the industrialization stage. It was characterized by an increasing number of the population and an increasing rate of employment.

This study aims to analyze the competitive capacities of Durres, by making a competitiveness analysis of Durres city with two other national and regional competitive cities: Tirana and Istanbul, highlighting the strong and weak points of these capitals.

### Durres city life cycle

As many other major Albanian cities, Durres has passed through an uncontrolled urban development in the last twenty years. The change of mono system into pluralism, from 1990, and the application of the economic reforms of the trade were accompanied with the appearance of many problems. In the first years of 1990, Durres became the focus of mass emigrations from Albania. Many people migrated to Italy and other countries. Very large rates of growth among the 1990's were result of increased movement of population to urban areas, which continued in high rates until 2003. The annual growth rate was 7%, but after 2003 it decreased in 1.4 % per year.



**Table 1.** Population grow of Durres city over years

The democratically elected government had an ambitious economic reform plan meant to halt economic deterioration and put the country on the path toward a market economy. As a result many factories were closed as they couldn't resist to the free market. One of the priorities of the government policy was the expansion of the transport infrastructure. There were some investments in automobilist roads, but there was much more to do in this sector. Land privatization led to an increase of private initiative. There was a rapid growth of the number of offices and firms. However there was a lack of firm strategies as long as they were not structured in associations. As the economy, in the first years, was destroyed; there was no technology availability for production, and no demand for high quality of product. One of the strongest resources for economic growth of the families was the investments made by the immigrations. The pick of the lower prosperity was in the chaos of 1997 with the demolition of the pyramidal firms.

Within some years this situation changed. Government took a more inclusive role in development policies. There were raised several agencies from the central and local government to improve the institutional framework. Local government invested in improving the roads and infrastructure, in reconstruction of existing networks of water, electric and canalization supplies. Local government has worked in improving and managing of the wastes by preparing a Local Plan for waste management. The municipality of Durres during the period 2010-2011 has invested a great amount of money in creating and improving recreative areas, mostly situated in the center of the city. Also there has been finally settled the online services, such as paying fees or tender participations. Government did a great afford in managing and

supporting the private sector. This led to a higher competition between companies, and to the demand for higher quality of products. The creation of QKR (National Center of Registration) eased the procedures of firms to start a business. The Chamber of Commerce and the Association of Durres created a further cooperation between the government and private sector. The municipality has implemented a one-stop-shop plan for local business to minimize the communication gap with the local government; however, the municipality is not doing enough. A report from SNV and UNDP, figured that it is required more cooperation from the local government with NGO's, private sector and public. Also the private sector is not cooperating so well in producing a strong partnership.

Regarding to the urban city transformation, the period of transition led to a high city urban growth and densification. Illegal buildings were constructed in previously green areas, such as in the old beach. Is this uncontrolled urban development also influenced the informal settlements in industrial zones, such as the one in Spitalla, Porto Romano, and Keneta. The town is divided in non-homogeneous parts such as the central area, the informal city, the port and the urbanized coastline which is occupied mainly by tourist flats. Nowadays some progress is being made to integrate the informal settlers of these zones into the city life. However, this progress is very low, because in these zones is figured the highest unemployment, school abandonment, poverty, health problems etc.

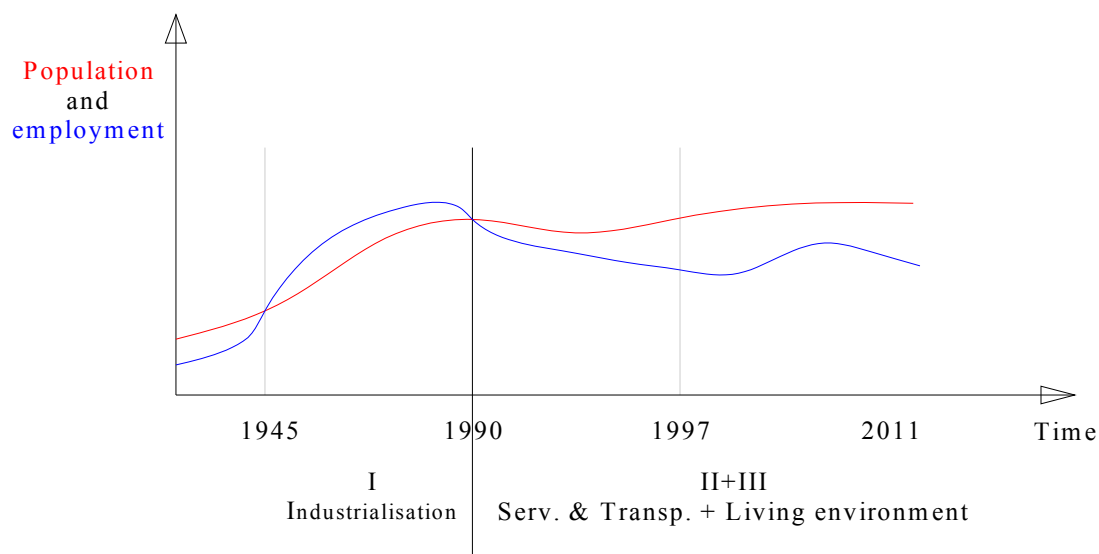
Unemployment remains a big issue for the city of Durres, despite the progress that has taken place. The official rate of unemployment is 11%, but due to many unemployed persons who do not register as such, the unemployment rate is much higher (around 25%). So, as the population rate is not increasing, the unemployment rate is decreasing.

### Urban competitiveness

From the above analysis we come to the conclusion that the city of Durres has passed a mixed urban life cycle. Some of the issues of the second stage have taken place in the period of 1990-1997, with the difference that Durres has had decreases in the economic development. In the late years, from 1997 – 2011, the city of Durres has had an evident progress in many areas. But, as a transition economy, not all the levels of the stages have taken place. There is much more to do in transport, town renovation, and in general the afford increasing the living environment.

As a new global divide is the driving force of city competitiveness, we would thought appropriate analyzing the city of Durres in national and regional scale, comparing with two competitive cities as Tirana and Istanbul. We would determine urban competitiveness as the way that cities compete with each other to have greater success in all aspects. Since we live in a world with high interconnections, cities connect and compete with each other. Therefore we would apply the Kittson's capitals in this analysis.

The capacity of a city to compete and increase urban competitiveness is affected by the rate of the standard of living. By increasing the productivity of the firms of a city and marketing its most productive goods and services, the community can develop and the employment rate will increase fast. This economic improvement will contribute in improving the standard of living for the citizens. According to Kittson, the assets that benefit in city competitiveness are: human capital, social-institutional capital, cultural capital, infrastructural capital, knowledge/creative capital and productive capital. All these assets working together affect the urban performance.



**Table 2.** The city like cycle of Durres

## Findings

The Durres Prefecture has a population of 303742, where 49.37% are males, and the rest females. The city of Durres itself has a population of 195160, and has marked an average population growth of 4.6% per year in the five years between 2001 and 2006.

However, after the political changes of the early 90s, Durres has been faced with large masses of population being settled in the informal zones, such as the one of Keneta, with more than 30000 inhabitants having moved there from different parts of the country. Therefore the city has an existing potential in labor force, which could contribute to the development of the city's labor market. According to the formal statistics the level of unemployment is 11.8 %; but in we take in consideration the unregistered population of the informal zones, the unemployment level should be higher (up to 25%).

Data from Standard Measurement Survey Living (VMNJ) in 2002 show that poverty rate is about 25 %. However the Regional Work Office in Durres has established facilities between employers and job seekers.

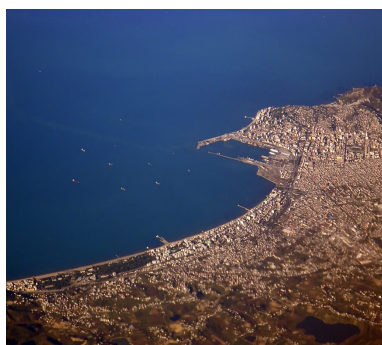


Fig.1 Durres



Fig.2 Tirana



Fig.3 Istanbul

City	Durres	Tirana	Istanbul
Total surface area	46.1km <sup>2</sup>	52.2 km <sup>2</sup>	5343 km <sup>2</sup>
Population	303742	677871	1310000
Population density	497 inhabitants/m <sup>2</sup>	460 inhabitants/m <sup>2</sup>	1929 inhabitants/km <sup>2</sup>
Growth rate	2 %	1.2 %	4.5 %
Unemployment rate	25 %	24.18 %	16 %
Poverty rate	25 %	18 %	9 %
Transportation	On foot, public transport, car, bicycle, motorcycle, ships	On foot, public transport, car, bicycle, motorcycle, airplane	On foot, public transport, car, bicycle, motorcycle, airplane, tramway, subway, ships
Garbage production	1 kg/day/person	0.8 kg/day/person	0.55 kg/day/person
Informal economy	35 %	30 %	10%
Education	35 %	40 %	93 % is literate
Universities	1/40	20/40	29/100
Nr of public hospitals	2/47	5/47	
Patents	2 %	5 %	55 %
Network connectivity rank	-	572/2921	710/2921
Industrial development rate	low	medium	high

Table 3. Competitiveness comparison of Durres city with Tirana and Instambul

## Concluding remarks

The results of the analyses indicate that Durres holds good non-exploited opportunities. Lying in a strategic position between north and south of Albania, Durres is the center of trade intersections in the area.

We would recommend a better management of coastal and archeological tourism, as crucial distinctive elements of the city. Furthermore, several problems of land management and development should find ongoing solutions in order to have a sustainable use of it. This will encourage increasing the number of businesses, and therefore an increase in the standard of living of citizens. There is no doubt that a good business climate, regarding a closer cooperation between the municipality and businesses, would improve the today's state of businesses. One other very important issue is the improvement of the facilities of Durres' harbor, since it is the largest port of the country. Finally, the today's market conditions seek more qualified labour, which can be offered by improving the educational system, particularly through the promotion of vocational schools.

## References

- Kitson, M, Martin, R & Tyler, P. 2004. Regional competitiveness: an elusive yet key concept. *Regional Studies*, 38, (9), 991-999.
- Porter, M. 2003. The economic performance of regions. *Regional Studies*, 37, 6&7, 549-578.
- BEGG, I., 1999. Cities and competitiveness. *Urban Studies*, 36(5-6), pp. 795-809.
- Berg, L. van den, 1999, Ch. 17 "The Urban Life Cycle and the Role of a Market Oriented.
- AGENDA Institute (June 2008) Swot analysis for the sustainable economic development of the city of Durres.
- D. Cetindamar, A. Gunsul (June 2010) Istanbul: a candidate city for the global innovation league? (*Journal of Global Strategic Management*).
- Municipality of Durres (2010) Transformation of business/citizens service with oracle iGovernment Informatics Platform (Information Technology and more).
- J. Abitz (2006) Post-socialist city development in Tirana ( *Internationale udviklingsstudier Roskilde Universitetscenter*).
- Durresi [Homepage of wikipedia]. [Online]. Copyright date 2012. Available: <http://sq.wikipedia.org/wiki/Durr%C3%ABsi>

## Between two Opposite Nationalisms: The Friulan Community of Gorizia

Dr. Chiara Sartori

Visiting Lecturer  
University of Birmingham  
School of Languages, Cultures, Art History and Music  
Birmingham, U.K.  
Email: lachiarasartori@googlemail.com

---

**Abstract:** This paper is an excerpt from my Ph.D. dissertation. In my thesis I investigated Nationalism and Localism in Gorizia through history and politics. In this brief version of the paper I present some of the results of my inquiry on Friulan community of Gorizia. After a short description of Friulan culture and language, I will discuss the role of Friulan culture in Gorizia in mediating between national feelings and sense of local belonging. Gorizia is a city located on the border between Italy and Slovenia. Friulans, Italians, Slovenians and Germans cohabited peacefully in the city until the rise of Nationalisms and the cruelty of Totalitarianisms led to the building of the modern borders and to the separation of the groups. Friulans are catholic as the Slovenes and latin speakers as the Italians. As for the Slovene minority, they struggled to defende their culture and language from Italianisation. On the same time, the protagonists of Gorizian Italian Irredentism were also Friulans, and many Friulans are proud to be Italian. Through the example of some semi structured interviews I carried on in Spring 2007, I will picture the Friulan fringe of Gorizia in the nowadays.

**Keywords:** Nationalism, Localism, Gorizia, Friulani.

---

Il friulano é una lingua di derivazione latina che appartiene al ceppo linguistico di altre lingue dell'Italia settentrionale (Gallia Cisalpina). Esso prende a prestito parole di provenienza non solo tedesca o slava, ma addirittura celtica e longobarda, in quanto esso si sarebbe formato sul sostrato romano e gallico che caratterizzava la popolazione di Aquileia sin dal I secolo D.C. (Vicario 2005:31). Anche il territorio goriziano, Trieste e Muggia, erano abitate dai Carni, popolo che ha dato origine alle radici linguistiche e culturali friulane di Gorizia, sin da prima dell'invasione longobarda, avvenuta nel 566 (Tunini 1997:20). Già a partire dal IV secolo la parlata popolare si distingue dal latino, fissandosi come friulano tra il VI e il X secolo. In epoca tardo medioevale la lingua friulana era indipendente dal volgare italiano e contrapposta in egual misura al tedesco e allo slavo. Quest'autonomia propria le permise sin da allora di svolgere una funzione di cerniera tra i tre mondi (Vicario 2005: 37). É infatti in tal senso che a Gorizia, ma non solo, i Friulani vogliono veder riconosciuta l'importanza e la priorità della loro cultura sulle altre presenti in regione.

Nel suo intervento ne *L'identità Plurale* Carlo del Torre della Società Filologica Friulana evidenzia come la storia di Gorizia sia sin dalle origini legata al Patriarcato di Aquileia e come gli storiografi pongano piuttosto l'accento sulla cultura Austriaca e mitteleuropea, quasi fossero due realtà contrapposte (80-81). Secondo lo studioso bisognerebbe piuttosto capire come "la capacità di utilizzare più lingue non possa storicamente essere appannaggio della città di Gorizia ma sia una caratteristica che inevitabilmente caratterizza tutta l'area friulana" (81) e chiedersi se non sia il Friuli anziché l'Austria l'elemento unificante all'interno del patriarcato. La questione sollevata dal Del Torre fa parte di una diatriba complessa, che vede la friulanità giuliana espressa, da un lato, dalla sua appartenenza al patriarcato, e dunque affondare le sue radici nell'antico linguaggio celtico parlato ad Aquileia, a cui si sarebbe sovrapposto il latino, dall'altro al passaggio delle terre orientali al dominio asburgico. In questo ultimo caso, sarebbe piuttosto il carattere veneto del Friuli occidentale a venir esaltato e contrapposto al Friuli asburgico. Questo doppio sistema simbolico ha avuto risvolti nazionalistici complessi. Per chi é friulano, infatti, l'essenza friulana della città é prerequisite importante dell'italianità:

Se Gorizia é italiana, é italiana perché friulana. In questa zona durante il periodo del 1947 si era arrivati ai ferri corti con la componente slovena. Si voleva portare Gorizia ad essere slovena e non é possibile perché Gorizia non é slovena, non lo é mai stata. Ci sono stati sempre gli Sloveni, ma si sono sempre dichiarati Goriziani. A loro non interessava l'etnia. Si sono ambientati qua, sono diventati Goriziani, hanno lavorato qui. Non c'era il problema nazionalista, é subentrato dopo. Quindi l'italianità di Gorizia e la friulanità di Gorizia vanno di pari passo. Non si può dire che contano di più gli Italiani o contano di più i Friulani (intervista 3 marzo 2007).

Un momento importante nella storia friulana è segnato dal trattato di Nojon (1516), a cui si attribuisce la responsabilità della divisione del territorio friulanofono nei due tronconi, che presentano differenti variazioni linguistiche. I versanti centrale e Occidentale furono definitivamente legati alla Repubblica di Venezia, mentre il Friuli Orientale, il cui capoluogo linguistico è Gorizia, venne annesso all'Austria (Tunini 1997: 26). Il friulano orientale, parlato nella parte Austriaca della Provincia di Udine e alla provincia di Gorizia, comprende, all'interno della provincia di Gorizia le varietà del dialetto chiamato sonziaco, che corrisponde grossomodo ai comuni isontini della Bassa Friulana, ad esclusione dell'area goriziana e di Dolegna del Collio, in cui si parla goriziano (Frau 1984: 21-22) e del monfalconese, in cui invece si parla bisiago, una varietà autoctona di base arcaica fondamentalmente veneta (33).

E' proprio nel legame tra chiesa cattolica e cultura friulana, o meglio, tra patriarcato aquileiese e cultura friulana, che va ricercata la funzione mediatrice della cultura friulana tra nazionalismo italiano e sloveno:

Mentre per gli Sloveni lo sviluppo della nazionalità appare unitario e senza contraddizioni interne, almeno nella sua prima fase, cioè nella concordia tra unità religiosa, nazionale, e appartenenza statale, per la realtà italiana tale fattore innescherà logiche di divisione, sia a livello politico nell'identificazione o meno della propria nazionalità con l'Italia del Risorgimento anti austriaco sia a livello ideologico, dato il carattere laico e anticlericale di detto Risorgimento (...). Per i cattolici friulani, il problema nazionale rimase sempre nettamente distinto e subordinato all'unità della fede nella chiesa diocesana. (L. Tavano 2004:93).

Nel Goriziano nel 1848 più che moti rivoluzionari, ebbe inizio un dibattito politico-nazionale che,

...interrotto durante il periodo del neoassolutismo (1859-1869) riprese più vigoroso nella seconda metà dell'Ottocento (...). La lotta nazionale tra Italiani e Sloveni si manifestò però appena verso la fine del secolo, quando qualunque forma di assimilazione fu respinta dagli Sloveni, ormai consapevoli e fieri della loro nazionalità. (Santeusano 2003: 163)

I cattolici italiani (friulani) e sloveni si erano riuniti nel 1870 in un'associazione, il Circolo cattolico del Goriziano, con l'intento di difendere gli interessi cattolici della provincia e favorire "l'armonia e la buona intelligenza fra la popolazione italiana e quella slovena" (Santeusano in AA.VV. 2002: 163). Nacque così un periodico in lingua slovena, il *Glas*, nel 1872, e "il *Goriziano*", poi "*Eco del Litorale*", in lingua italiana, che dal 1873 al 1918 giocherà un importante ruolo nella diffusione e discussione delle idee nazionali in ambito cattolico. Dall'analisi che Italo Santeusano fa del periodico, emerge che "il foglio isontino si sforzava di essere equidistante tra i due opposti nazionalismi, pure nella decisa difesa dell'italianità culturale della parte occidentale della provincia di Gorizia, nei limiti della fedeltà assoluta all'imperatore d'Austria e al primato dei valori religiosi rispetto a quelli nazionali"(164). A tale equidistanza andrebbero dunque attribuite le opposte accuse di filo slavismo e di Irredentismo filo italiano. Dagli esempi che l'autore fornisce, emerge che l'italianità per un buon cattolico non deve prescindere dalla cattolicità. Ecco allora che parole come "patria" e "nazione" acquistano a Gorizia e sulle pagine di questa stampa un significato diverso da quello che leggeremo tra le pagine della Voce e degli scritti degli irredentisti giuliani:

Le identità espresse dal Circolo cattolico di Gorizia nel suo motto "Per la chiesa – per l'impero – per la Patria" corrispondono alla mens corrente in diocesi: una ferrea aderenza all'ortodossia romano-cattolica, un sincero lealismo nei confronti dell'unità dell'impero – motivato anche dalla tradizione asburgico-cattolica, una visione unitaria della realtà sociale in cui la popolazione viveva (la patria come *Heimat*). (L. Tavano, 2004:122)

Per i cattolici Goriziani italiani (friulani), dunque, il problema della supremazia di un'identità nazionale sulle altre non si poneva, dal momento in cui spettava all'Austria garantire la tutela delle religioni e delle diverse culture al suo interno ed essi rimasero sostanzialmente lealisti fino alla Grande Guerra.

"L'italianità dei cattolici era quella di Roma cattolica e papale, della storia e della cultura italiana, di Dante e dell'arte, con una stima a tale immagine dell'Italia che risultava comune nella cultura tedesca; non l'italianità dei Savoia e di Garibaldi, della rivoluzione liberale e anticlericale" che invece saranno le posizioni di una piccola minoranza appartenente alla borghesia liberale di aspirazioni risorgimentali e irredentiste (L.Tavano 2004:140).

Ecco allora che dire friulano in epoca risorgimentale e irredentista aveva un significato ben più neutrale che triestino o italiano, avendo implicazioni etniche piuttosto che politiche. Nel processo che ha condotto al nazionalismo sloveno l'uso della lingua slovena da parte della chiesa è stato fondamentale. Invece, nel caso del friulano, piuttosto che di una scelta politica, si è trattato di un riconoscimento etnico, emotivo. Il friulano serviva ai sacerdoti a catechizzare e moralizzare il

contado, contrastando i danni del pensiero liberale con una visione di appartenenza ecclesiale prima che nazionale intrinseca al popolo stesso. Analogamente, i valori del popolo friulano che ritornano continuamente nelle prediche e nelle villotte, nelle poesie e nei canti sono, a ben vedere, i valori che la chiesa e l'impero attribuivano ai buoni sudditi: fedeltà, laboriosità, mitezza, rispetto per l'autorità, semplicità e morigeratezza, coraggio.

Su questo modo di intendere l'italianità si gioca a mio avviso tuttora un grosso equivoco tra Italiani nazionalisti, profondamente antislavi, e Friulani cattolici, i quali si sentono italiani e credono fermamente in una Gorizia italiana, ma non intendono assolutamente negare la presenza slovena. Cito, a tal proposito, un brano riportato dal Medeot e pubblicato sul I numero del *Goriziano* nel 1871 da cui mi sembra che emerga in modo saliente questo sentire:

...dal momento che esistono sul medesimo territorio le nazionalità italiana e slovena talmente intrecciate, che senza gravissimi inconvenienti non si potrebbero separare, e dal momento che nessuna è tanto preponderante da poter dominare l'altra, e dacché la pacificazione è in principio generalmente ammessa, anziché reciprocamente osteggiarsi ed anelare al predominio dovrebbero amichevolmente convenire nel procurare lo sviluppo ed incremento dei comuni interessi. (in AA.VV., 1982-I:38)

Uno dei problemi maggiori di trasmissione culturale è oggi la decadenza della lingua friulana, problema che non coinvolge solo Gorizia ma tutta la regione. Come notava Giuseppe Francescato nel 1976 (16), il friulano viene parlato dalle nuove generazioni in modo approssimativo, divenendo una specie di italiano friulanizzato, e questo starebbe conducendo lentamente ma inesorabilmente alla morte della lingua.

A Gorizia, come testimonia Livio Tunini nel suo testo *Lenga Piarduda*, il friulano era da sempre una lingua viva, parlata soprattutto dal popolo goriziano, ma conosciuta anche dalla burocrazia e dalle autorità, che in più di un'occasione lamentano la difficoltà di introdurre l'uso del tedesco nella popolazione (Tunini1997: 28). Tale tendenza, emersa sin dal XVI secolo, è lampante nelle indagini statistiche sulla nazionalità, svolte a fine '800 per conto dell'impero asburgico. Sin dal Censimento del 1869, su 16.659 abitanti, degli 11.400 "Italiani" per tradizioni e cultura, 10.000 appartenevano alla stirpe friulana e formavano la classe del popolo, mentre 3.500 erano Sloveni (Fabi 2004: 29-30). Conoscere il friulano era dunque indispensabile per vivere e lavorare a Gorizia, tanto che sia gli Sloveni, che gli italiani appartenenti ai ceti più ricchi dovevano utilizzarlo. Secondo una serie di studi citati da Frau (1987: 22-23) cento e trenta anni fa gli abitanti di lingua friulana nell'area goriziana erano tre volte più numerosi di quelli di lingua italiana. Nel 1910 i cittadini di Gorizia che parlavano friulano sarebbero stati ben il 50% della popolazione. Nel 1975 tale percentuale in città si sarebbe ridotta al 9,9%, mentre invece nel territorio circostante la gente continuava ad usare prevalentemente il friulano (86%). Durante e dopo il Fascismo nacque la convinzione che insegnare il Friulano ai propri figli potesse comprometterne i risultati scolastici. Si veda ad esempio quest' intervista a una donna di S. Rocco:

D: In casa in che lingua parlate?

R: Noi italiano.

D: Italiano?

R: Sì.

D: Nella famiglia di origine? Italiano? Friulano?

R: No, no, no, italiano perché devi sapere che mia mamma era goriziana e mio papà invece era di fuori, per cui io da bambina se parlavo dialetto prendevo ceffoni perché mia mamma diceva che io ero figlia di un italiano e dovevo parlare bene l'italiano (intervista 5 aprile 2007).

Così commenta A.:

In passato gli stessi genitori friulani evitavano di parlare in friulano ai propri figli perché avevano paura che essi mescolassero friulano e italiano, mentre oggi si tende a fare un discorso differente. I bambini hanno una ricettività enorme, ci sono bambini che sanno quattro lingue e non le confondono. (intervista 21 febbraio 2007)

Dal 1977 ad oggi sono state effettuate numerose ricerche sulla condizione socio linguistica del friulano. Per ragioni di spazio mi limito in questa sede a citare gli studi senza riportare nel dettaglio dati e analisi. Le prime ricerche a livello regionale e provinciale vennero svolte nel 1977 e nel 1986 dall'ISIG (Istituto di Sociologia Internazionale di Gorizia), mentre nel 1998 ebbe inizio un progetto curato dal Dipartimento di Economia dell' Università di Udine per monitorare la situazione a vent' anni dalla prima ricerca. Nel 2001 Linda Picco per conto del CIRF (Centro interdipartimentale di ricerca sulla cultura e lingua del Friuli) dell'Università di Udine monitorò un campione di adolescenti friulani.

Dalle prime ricerche, che guardavano sia gli aspetti endogeni (percezione della realtà linguistica dall'interno della comunità) che esogeni (percezione del riconoscimento dell'uso del friulano da parte delle istituzioni) della lingua, emerse



un calo dell'uso del friulano dell' 1% annuo (Picco 2001:151). Alla fine degli anni '90 la percentuale di friulanofoni nel Friuli, ad esclusione di Muggia, Trieste e Portogruaro era del 60%. Tra gli altri elementi che compaiono da queste statistiche emerge il carattere del Friulano quale lingua sociale, quale lingua da usare soprattutto nei rapporti con gli amici o al bar (nel 1998, 92,7%) e da limitare nei rapporti con le istituzioni (scuola, 43, 2%, chiesa 34, 8%). Dalle indagini del 2001 emerge una minore affezione da parte dei più giovani nei confronti della madrelingua, anche se i valori di comprensione della loquela restano molto alti (conoscenza passiva: 94%, uso regolare o occasionale: 61, 3%, vedi analisi Picco p.153).

Ciò che emerge dai dati raccolti, una delle cause maggiori della decadenza del friulano è il suo essere considerato una lingua, e ancor di più una lingua viva. I problemi del friulano sono analoghi a quelli di molte lingue minoritarie italiane, come il sardo o il piemontese (mancato riconoscimento a livello nazionale, politica scolastica, difficoltà legate all'applicazione della normativa), ma la situazione in Friuli è ulteriormente complicata dalla presenza di una minoranza slovena, la cui lingua è l'idioma maggioritario della nazione confinante, mentre non vi fu mai una nazione friulana giuridicamente e politicamente riconosciuta. L'applicazione della legge 482 a Gorizia suscita timidezza da parte dei Friulani, che hanno qualche difficoltà a percepire la loro lingua come lingua d'uso:

“Nella storia passata la lingua friulana era considerata una lingua franca ed era conosciuta da tutti, anche dagli Sloveni, che per venire a Gorizia dovevano parlarla. C'era una collaborazione paritaria, non c'era nessun problema. Ora invece a Gorizia mi sembra che gli Sloveni la prendano più sul serio, perché i Friulani non vedono il Friulano come lingua, loro vedono l'Italiano come lingua”(intervista 21 febbraio 2007).

Contemporaneamente, il fattore linguistico sembra avere per gli Sloveni un significato etnopolitico ben più grosso che per i Friulani, che si sentono comunque italiani:

“I Friulani non impongono nulla perché siamo noi che ospitiamo gli altri, cioè gli Sloveni che sono qui ma noi siamo parte di Gorizia come sono parte di Gorizia gli Sloveni, però gli Sloveni vivono l'introduzione dello sloveno come una conquista, mentre per noi non è stata una grande conquista, perché da noi si è sempre parlato il friulano. Noi non la consideriamo una grande conquista, ma semplicemente una conquista” (intervista 21 febbraio 2007).

Una delle caratteristiche che distingue l'appartenenza linguistica e culturale al ceppo friulano e che ha permesso a questa lingua di sopravvivere fino ai giorni nostri, nonostante le persecuzioni storiche e politiche che ne hanno indotto il disuso, anche a Gorizia è l'affettività che lega chi si considera friulano a un mondo che percepisce comunque indipendente da quello tedesco, italiano e sloveno. La cultura e il folklore friulano trova a Gorizia espressione nei suoi borghi, ancora attivi nel mantenimento di vecchie e nell'introduzione di nuove tradizioni, in un certo modo di sentire e vivere la città e nelle espressioni artistiche ed architettoniche di certi luoghi.

Il cuore della friulanità goriziana è Borgo S. Rocco..

Oltre naturalmente alla festa di S. Rocco, durante la quale le ragazze usavano regalare ai ragazzi un nastro con cui ornare il cappello a tese larghe, che caratterizzava i borghigiani, sono ricordati il Carnevale, il Ballo dei Contadini, la Pasqua, la gara degli Scampanatori e la festa del Ringraziamento. Il dolce tradizionale del borgo è il *colaz*, una specie di ciambella la cui ricetta ricorda quella dei *bussolai* veneti e il cui nome, secondo le ricerche compiute dagli autori, sarebbe di etimologia friulana goriziana (216). Borgo S. Rocco e la sua parrocchia sono tuttora attivi nel promuovere la cultura goriziana e nel mantenerne le tradizioni. Da oltre 25 anni, infatti, un comitato presiede le attività culturali, quali la pubblicazione del calendario, il *Lunari* o la rivista *Borc San Roc* e organizza sagre e feste religiose.

Se è vero che la chiesa ha avuto un ruolo attivo a Gorizia nella promozione e valorizzazione della cultura friulana, specialmente a partire dagli anni '50 del dopoguerra, di recente è diventato molto forte anche il legame tra i borghi. L'organizzazione del Carnevale ne è un esempio. A Gorizia il Carnevale è particolarmente sentito ed ogni zona della città ne cura un aspetto. Dal Ballo della Ginnastica goriziana alla parata allegorica, che vede la partecipazione di numerosi gruppi locali e internazionali, il Carnevale è un'occasione di attrazione e, come altre manifestazioni che analizzeremo nell'ultimo capitolo, un'occasione di collaborazione tra le molte realtà presenti. Durante la parata, accanto ai *Furlans a Maneta*, banda friulana, sfilano gli *Ptujs*, maschere della tradizione slovena che scacciano l'inverno. Se è vero che il ballo dell' UGG è un appuntamento tradizionale per i giovani italiani, gli Sloveni tengono al Kulturni Dom il ballo in maschera per i bambini, mentre il club degli Amici del *Tajeto* (del bicchiere, o meglio del quartino) organizzano il Carnevale in piazza. Insomma, tutte le realtà cittadine partecipano in un modo o nell'altro alla festa. Anche in passato il Carnevale veniva festeggiato con intensità dai Goriziani. Famosi erano i Balli Mascherati (assai popolare quello che si teneva nel Castello), la parata allegorica, che ieri come oggi prendeva di mira i personaggi e i problemi della vita pubblica, e i funerali di Messer Carnevale, rito quest' ultimo ripreso di recente, che vede Borgo Piazzutta collaborare con Borgo S. Rocco (De Vitis-Spangher 2002: 164, ss). Piazzutta è il più antico quartiere cittadino (230). Posto fuori dalla porta della città, sulla destra del Corno, esso costituiva l'ingresso a Gorizia privilegiato per chi veniva dal Friuli. È un quartiere misto,



cioè formato da Goriziani che si riconoscono nel gruppo sloveno e friulano.. La collaborazione tra Piazzutta e Borgo S. Rocco nell'organizzazione del Carnevale, non é l'unico esempio di collaborazione tra i borghi, ma é a mio avviso un segno di come la popolazione goriziana trovi modo di incontrarsi attraverso la riscoperta di riti appartenenti a un passato comune<sup>1</sup>.

Se S. Rocco e Piazzutta sono i quartieri cittadini che mantengono forse più di altri vive le tradizioni friulane di Gorizia, la frazione di Lucinico é quella in cui si sente più spesso parlare correntemente la lingua friulana. Più che un quartiere, Lucinico é una vera e propria frazione, separata dalla città dal Viadotto "Ragazzi del '99" e confinante con i comuni di Medea e Capriva. Come Piedimonte, Piuma e calvario, infatti, la storia di questo Comune si intreccia con le vicende Goriziane, ma conserva una propria autonomia. A Lucinico la cultura friulana e rurale sono molto forti e le tradizioni, più che semplici rievocazioni, hanno un forte valore identitario. Per comprendere meglio la coscienza dell'identità friulana a Lucinico, ricorderò i tre esempi citati da Eraldo Sgubin nella prefazione al testo di Paolo Cicuta, primo sindaco di Lucinico dopo la guerra del 1915-18 e autore di una piccola cronistoria locale. Durante le invasioni napoleoniche, il giorno antecedente l'arrivo delle truppe francesi a Lucinico, il consiglio cittadino si riunì per decidere in che lingua rivolgersi al grande generale francese e venne stabilito di usare il friulano, che secondo il podestà era una lingua che doveva necessariamente venir compresa da tutto il mondo (Cicuta 1995:79). <sup>2</sup> Grande fu la meraviglia nel constatare che l'ufficiale francese, da loro scambiato per Napoleone, avesse compreso ed apprezzato molto di più il messaggio in friulano che la traduzione in lingua italiana seguente (Cicuta 1995:25-27). A Lucinico, come a Gorizia, l'importanza che ebbe la predicazione in friulano nella formazione dell'identità linguistica e culturale é ricordato dalla protesta inoltrata all'autorità competente affinché inviassero sacerdoti di lingua friulana, o almeno in grado di parlare la lingua del popolo. Infine, viene menzionato il fatto che la nobiltà goriziana, a differenza di quella udinese che utilizzava il veneto, parlasse friulano. A caratterizzare Lucinico, però, é soprattutto la passione per il ballo. Il ballo, o i balli costituiscono un importante elemento aggregativo per la cultura friulana. Durante i balli si combinavano i matrimoni e, in una cultura fortemente religiosa, erano l'unico momento in cui ragazzi e ragazze potevano conversare liberamente. I balli, per l'attrazione e l'importanza che rivestivano nel mondo contadino, spesso sono stati occasione di propaganda e strumentalizzazione politica o di lotte. La danza e il canto, dunque, sono caratteristiche essenziali del folklore e dell'identità locale. Il gruppo dei danzerini di Lucinico é ancora oggi tra i più importanti e rappresentativi del folklore friulano. Fondato nel 1929, é protagonista di numerose esibizioni in Italia e nel mondo (AA.VV.:1966).

Essere friulani significa parlare una lingua romanza. I Friulani non hanno mai avuto una nazione, e questo ha fatto loro sposare durante l'Irredentismo la causa dell'italianità, con cui le radici linguistiche erano più forti, pur senza negare il ruolo che la presenza slovena ha giocato per la città di Gorizia nel medioevo. Nelle interviste da me raccolte nei quartieri di S. Rocco e Lucinico tra famiglie che si ritengono friulane, il Fascismo viene generalmente condannato per l'imposizione della lingua italiana e la stigmatizzazione del dialetto, anche se le persecuzioni furono più blande nei confronti del Friulano di quanto non lo furono per lo Sloveno. É molto vivo, soprattutto nella fascia dei sessantenni, il mito Austro-Ungarico dell'*Austria Felix* dell'800, quando Italiani, Friulani e Sloveni coabitavano pacificamente i territori. Nella scelta di questo modello un grosso ruolo é stato giocato dalle Associazioni di stampo cattolico, che sono state molto attive nel dopoguerra nel promuovere e valorizzare le lingue e identità locali, abbracciando in particolar modo la causa friulana. Se per gli Italiani il territorio ideale dell'area giuliana corrisponde alle terre redente del 1918, per i Friulani una distinzione va fatta. Da un lato, infatti, il Friuli, coincide con tutte le aree in cui si parla friulano, e in cui il Friulano é più puro (dunque la provincia di Udine) dall'altro, per i Friulani isontini e giuliani, il ruolo del patriarcato di Aquileia, e dunque le origini aquileiesi della lingua porta a vedere nell'intero territorio patriarcale la culla della cultura friulana.

Di frequente, alla domanda "chi può per Lei definirsi Goriziano?" la risposta non é legata all'appartenenza etnica o linguistica, ma piuttosto ai legami con la città:

D: Chi sono i Goriziani per lei, cosa vuol dire essere Goriziani?

R: Eh, sono ehm nati qua, vissuti in questa città, che non sarebbe una città, ma un paese grosso, grande.

<sup>1</sup> Per una descrizione più dettagliata dei riti del Carnevale goriziano da me osservato nel mese di Febbraio del 2007 rimando alla mia tesi di dottorato, Sartori, Chiara (1997) [online], Identità forti. Nazionalismo e Localismo a Gorizia. Available: <http://repository.library.brown.edu:8080/fedora/objects/bdr:11097/datastreams/PDF/content>

<sup>2</sup> Tale ingenua convinzione é dovuta al fatto che il friulano, essendo una lingua neolatina che ha mantenuto molti arcaismi é più vicina dell'italiano standard a molte lingue neolatine, oltre che ovviamente a sentimenti campanilisti. Lo Sgubin commenta, nello stesso contesto, il racconto che Paolo Cicuta fa del ritorno dalla campagna di Russia del 1812 da parte di un gruppo di abitanti di Lucinico, meravigliati di aver comunicato con un gruppo di donne turche utilizzando il friulano, latino e rumeno (Cicuta 1995:26; 86-87).

D: Quindi non è importante che si parli friulano, sloveno o italiano?

R: No. (intervista 20 marzo 2007).

D: E i Goriziani adesso, chi sono i Goriziani per Lei?

R: Le vecchie famiglie, i T., i L., i M., tutta gente che è nata e vissuta qua. Gli avi insomma.

D: Quindi Goriziani si nasce. Ciò che conta è l'albero genealogico. Non importa la lingua.

R: No, no. Che sia sloveno o friulano... (intervista 17 aprile 2007).

In questa etnia, così come negli altri gruppi autoctoni, particolare risalto viene dato al fatto che, prima della Grande Guerra, tutti gli abitanti parlassero correntemente quattro lingue e che adesso solo gli Sloveni conoscono anche l'italiano:

"...mia nonna quando era bambina conosceva l'italiano, lo sloveno, il tedesco e il friulano, mia madre parlava l'italiano e il friulano, io conosco l'italiano, mentre invece gli Sloveni anche oggi conoscono l'italiano e lo sloveno" (intervista 5 aprile 2007).

Anche se la lingua friulana sta scomparendo, Gorizia rimane una città culturalmente friulana. Il ruolo della cultura friulana a Gorizia è quello di unificare e contribuire al dialogo tra le altre componenti etniche, mantenendo vivo il ricordo della storia e delle tradizioni locali. Il legame che univa religione, cultura friulana e identità mitteleuropea è sopravvissuto ai nazionalismi e, nonostante la secolarizzazione, sembra ancora caratterizzare l'identità goriziana.

## References

- AA.VV. (1982). *I cattolici isontini nel XX secolo (1918-1934)*, Atti del Convegno 23-24 gennaio 1981 promosso da centro Studi Rizzatti, ICM, Iniziativa Isontina, *Voce Isontina* Voll. II, Gorizia: Tipografia Sociale.
- AA.VV. (2002). *L'Arcidiocesi di Gorizia dall'istituzione alla fine dell'impero austriaco (1751-1918)*. Udine: ISSR.
- Cicuta, Paolo, (a cura di Eraldo Sgubin). (1995). *Lucinico tra cronaca e storia*. Gorizia: Tipografia grafica goriziana.
- Cisilino, Walter (2006). La tutela giuridica della lingua friulana. In *Friulano Lingua Viva*, Udine: Filacorda, pp. 173 - 187.
- Cressati, Claudio (a cura di) (2006). *L'Identità plurale. Storia, cultura e società a Gorizia*. Trieste: Ed. Parnaso.
- De Vitis, Maria Rosaria e Spangher, Luciano (2002). *Gorizia Felix nel 1800*. Gorizia: Grafica goriziana.
- Del Torre, Carlo (2003). Il friulano e la cultura friulana a Gorizia e nel Friuli Orientale. In *L'identità plurale. Storia, cultura e società a Gorizia* (convegno), 28 aprile 2003, Auditorium della cultura friulana, Gorizia.
- Ellero, Gianfranco. (1977). *Storia dei Friulani*. Udine: Arti Grafiche Friulane.
- Fabi, Lucio. (1991). *Storia di Gorizia*. Padova: Il Poligrafo.
- Faranda, Franco. (a cura di) (1990). *Le Minoranze linguistiche italiane*. Rimini: Luisè.
- Francescato Giuseppe e Salimbeni Fulvio.(1976). *Storia, lingua e società in Friuli*. Udine: Casamassima.
- Frau, Giovanni. (1987). *I dialetti del Friuli*. Udine: Società filologica Friulana.
- Odorico, Serena (2006). Il friulano nella scuola e nell'università. In *Friulano lingua viva*. Udine: Filacorda, pp.195 - 219.
- Peri (a cura di). (1991), Le "minoranze" nella Mitteleuropa (1900- 1945). Identità e confronti, in *Atti del XXIV Convegno di Gorizia*, 6-7-8 dicembre 1990, Gorizia: Istituto per gli incontri culturali mitteleuropei.
- Picco, Linda. (2001). *Ricerche su la condizione sociolinguistiche dal furlan/Ricerca sulla conzione sociolinguistica del friulano*. Udine: Forum Editrice Universitaria Udinese Srl..
- Picco, Linda. (2006). La condizione sociolinguistica del Friulano. In *Friulano lingua viva*, Udine: Filacorda, pp.144 -168.
- Roseano, Paolo. (1999). *Identità friulana. Così è e così l'hanno prodotta i miti, i parroci, le élite locali*. Gorizia:ISIG.
- Santeusano, Italo. (2003) Stato e nazione nel pensiero e nell'opera dei cattolici del Friuli austriaco. Estratto da *Nazione e stato nell'Europa Centrale*, Atti del XXXI convegno, a c. di M. Grusovin, Gorizia: ICM, pp. 163-168.
- Tavano, Luigi. (2004). *La diocesi di Gorizia 1750-1947*. Mariano del Friuli: Edizioni della Laguna.
- Tunini, Livio. (1997). *Guriza: la lenga piarduda. Radici linguistiche goriziane*. Mariano del Friuli: Graphy.
- Vicario, Federico. (2005). *Lezioni di linguistica friulana*. Rovereto di Piano: Risma, pp. 30-47.

## Greek Minority in Albania: Exclusion or Inclusion?

**Marsela Sako**

Lecturer of Political Science / University of Tirana  
marsela\_sako@yahoo.com

---

**Abstract** *The collapse of the communist bloc meant, the direction of former communist countries toward systems with democratic structure. The processes of radical transformations in the economy and politics, made the societies of these countries face with major challenges and problems. With the restoration of freedom and human rights, almost all Eastern bloc societies were confronting problems carrying in itself the issue of minorities, considered as destabilizing factors in the case of poor management. Given this, the paper aims to review some of the key trends and policies toward national minorities in Albania, as part of the Balkans, focusing particularly on the Greek minority that constitute the minority with the largest population. The focus of attention to the Albanian legislation will give us a clearer picture of the rights and freedoms that are guaranteed to minorities in Albania, and the spaces that were created for inclusion in the government level and to influence the various decision-making processes. Research of this issue covers the period 1990-2006.*

**Keywords:** *greek minority, albanian constitution, human rights, participation.*

---

### Introduction

With the collapse of totalitarian regimes, the former communist countries began to devote due importance policies related to the minorities. In this way, multiethnic Balkan states, had to create a society with political rights, where human rights were respected. In addition to providing individual rights, democratization also requires collective recognition of the rights to all kinds of minorities. In this context it should be stressed that the realization of a successful transition to post-communist era, should be supported in creating opportunities for competition on equal terms for minorities in the new economic processes, the creation of legislation on individual rights and collective rights of minorities and protection of their rights against discrimination. Despite these common goals, it is clear that the policies, that the former communist counties, have followed for minorities, are determined by several factors among which, the size of the minority. Let us see more specifically pursued policies towards minorities and especially the Greek minority in Albania.

### Legal framework and the situation of the Greek minority

Compared with other Balkan countries, Albania is an ethnically homogeneous country with a population of 98 percent ethnic Albanians. Historical tradition in Albania has followed the way of recognizing as national minorities those minorities which have their own motherlands with which they have common characteristics such, the spiritual constitution, the language, culture customs and traditions, religious belief etc. Such minorities are considered the Greek, Macedonian and Montenegrin national minorities<sup>1</sup>. Unlike the other Balkan countries, Albania has relatively small number of minorities, among whom the Greeks mostly concentrated in the southern part of the country, constitute the largest number.

As the only country with a muslim majority in a mainly christian Europe, Albania since the early years after the collapse of communism has been a model of tolerance and peaceful coexistence between its religious communities, Muslim, Orthodox Christians and Catholics.

The Albanian government has repeatedly demonstrated its tendency to respect the rights and freedoms meaning the role and position of minorities in the political, social, cultural and economic aspect of the country.

If we refer to the Albanian Constitution, in its Article 3 states among other things, that "coexistence and understanding of Albanians with minorities are the basis of this state, which has duty to respect and protect. "

---

<sup>1</sup> Report on National Minorities in Albania. Council of Europe. 2001.

Article 18 states that (1), "all are equal before the law", and also that (2), "Nobody can be discriminated against for reasons such as gender, race, religion, ethnicity, language, political and religious beliefs."

Article 20, moreover, claims that (1), "Persons belonging to national minorities exercise in full equality before the law the rights and freedoms" and that (2), "They have the right to freely express, without prohibition or compulsion, their ethnic, cultural, religious and linguistic identity. They have the right to preserve and develop these identities, study in their native language, as well as unite in organizations and associations to protect their interests and identity. Among other legal acts may be mentioned Law no. 7152, dated June 21, 1995 "On the 8-year education in mother tongue of people belonging to national minorities", emphasizing in this way the right of minorities to be educated in their native language. Moreover, Election Code, Article 3, provides that "every albanian citizen, without distinction of race, ethnicity, gender, language, political conviction, religion or economic condition, has the right to vote and be elected in accordance with rules provided in this Code.

In order to protect and respect the strictly human rights and in particular minority rights Albania has joined important international initiatives among which can mention:

- Copenhagen document of the conference on European Security and Co-operation of 1990 UN declaration on the Rights of Persons Belonging to National or Ethnic, Religions and Linguistic Minorities of 1992
- Framework Convention of the Council Of Europe for the Protection of National Minorities of 1995<sup>2</sup>

Constitution of the Republic of Albania in Article 122 paragraph 1 and 2, determines the priority of international agreements that are ratified by law, making the mandatory implementation of all the norms issued by them. In this context it should be stressed that the constitution guarantees all the rights of minorities to exercise their freedoms, although the situation of ethno-linguistic minorities (Roma, Aromanians), leaves much to be desired, as in connection with their representation in parliament as well as on issues relating to the potential to be educated or to develop economically.

Also it is worth pointing out the fact that Albania has ratified the UNESCO Convention for the Protection of the Diversity of Cultural Expressions. This means that all ethnic minority groups, including ethno-linguistic minorities, which are known in Albania, have the right to establish and fund independently their cultural institutions.. So to possess the right to open up television, radio, magazines or newspapers. As reflected in the Constitution of Albania, its main pillars relating to the rights of minorities to express freely, to organize and to be represented in the parliament.

If we take a look at the situation of minorities and ethno-linguistic groups will see that immediately after the collapse of communism, ethnic minority organizations began to create . Greek minority formed the organization "Omonia" (which in Greek means "unity), was established Organization of Macedonians" Prespa ", the Association of Montenegrins" Common Life and Harmony"<sup>3</sup>, Vlachs "National Association of Vlach", Armenians formed organization "Armenians in Albania" (Pettifer 2001). Although the Albanian legislation guarantees the participation of minorities in the electoral process, practically only Greek minority has managed to obtain a representation at parliamentary level or at the Council of Ministers. Their party "Omonia" won on the first pluralist elections of 1991, five seats in the Albanian parliament.

In the second parliamentary elections of 1992, in which were excluded parties with ethnic natyre and therefore "Omonia" had to rename itself in "Party of Human Rights". The greek minority won in a changed electoral system with 2.9 percent of the votes, 2 out of 140 seats in the parliament. (Vajdenfeld 1999).

The transition of political power from Omonia to PHR made political participation of Greeks insufficient, as it should have ensured political representation not only for the Greek minority, but for all minorities. As a result, PHR lost ground in its traditional area of southern Albania, which is populated mainly by Greek ethnic minorities (Barjarba 2004). Regarding the Greek representation at government level, in 2001, it had a position of Minister of Health, Deputy Minister of Labour and Social Affairs, and Deputy Minister of Justice.

- Following the elections of July 3, 2005, Party of Human Rights Union lost two places. After these elections, a member of the Greek minority was appointed as Minister of Labour, Social Affairs and Equal Opportunities in the new government structure. Besides the Greek minority, no other ethnic minorities were represented in the Parliament of the Republic of Albania or in the level of Council of Ministers<sup>7</sup>. (Wolff 2008)

<sup>2</sup> Report on minority question in Albania, in relation to the European Convention, Albania Helsinki Committee, September 1999

<sup>3</sup> Political Parties and Minority Participation – Skopje : Friedrich Ebert Stiftung, 2008.

The right to education is another important element that provides the Albanian legislation. Almost every village in the southern area inhabited by ethnic Greeks, has public elementary and secondary schools that teach in the Greek language

- Also to assist the minorities, has been established "National Minorities Committee", a consultative body that is composed, by a technical staff and representative of the five minority groups (Greek, Macedonian, Montenegrin, Aromanian, and Romani). In the case of Albania, however, ethnic divisions, despite their historical importance, are more virtual than real. Among the general population, ethnicity almost did not play any role, although in recent years politicians and religious leaders have made ethnicity a political issue in view of their power. If in the West the term "ethnic" is given a politico-cultural connotation, in Albania, where the government have not been able to manage the "growing wave of cultural pluralism", the term "ethnic" has more political connotations<sup>8</sup>. (Barjaba 2004)

Finally note that democratization is a long process. However, there is no doubt that the idea of democracy and the notion of human rights has created a sustainable basis in Albania. In less than ten years after collapse of communism, in Albania it was voted the first democratic constitution providing guarantees for citizens, including minorities. But despite all these developments, particularly the Greek minority has repeatedly expressed concerns that might be considered somewhat legitimate, but it is important to maintain some balance, so that the demands raised by them for additional rights, not to exceed the legal standards.

### References

- Constitution of the Republic of Albania  
*Report on National Minorities in Albania*. Council of Europe 2001  
*Report on minority question in Albania, in relation to the European Convention*, Albania Helsinki Committee, September 1999.  
 K. Barjaba, *Migration and Ethnicity in Albania: Synergies and Interdependencies*, Brown Journal of World Affairs 2004  
 A. Agh, *Processes of democratization in the East Central European and Balkan States: Sovereignty-Related Conflicts in the Context of Europeanization*, Communist and Post-Communist Studies 32 (1999) 263–279  
 V. Vajdenfeld, *Demokracia dhe Ekonomia e Tregut në Evropën Lindore*, Shtëpia e Librit e Fondacioni Soros 1999  
 J. Pettifer, *The Greek Minority in Albania in the Aftermath of Communism* në Conflict Studies Research Centre 2001  
 S. Wolff., *MINORITY RIGHTS IN THE WESTERN BALKANS*, report commissioned by the Subcommittee on Human Rights of Foreign Affairs Committee of the European Parliament, June 2008.

## Some Approaches Between Cham, Arbëresh and Arvanitika within the Standard Literary Language

Edlira Troplini (Abdurahmani)

University "Aleksandër Moisiu" Durrës

Faculty of Education

E- mail: [edlira.troplini@yahoo.com](mailto:edlira.troplini@yahoo.com)

---

**Abstract:** *The regional dialects are not all equally oriented toward the standard language. The orientation towards the prestige language is appropriated to the life of each of the dialects. The more the gap between the standard language (the general Albanian) and the provincial dialects, a side or of the Diaspora in general, the greater become the semantic differences, thus increasing the difficulty in communication. What attracted us most is the pace of change. A considerable weight in developing and changing all linguistic varieties have mainly the extra lingual factors. There are these factors that make some of the dialect have the development towards general Albanian slower in comparison with other dialects. A typical example of dialects to consider is the psychological factor as well, which relates to the cause of the displacement of these populations with the same fate, is not the same, but determines them the same. Privilege for such dialect is the fact that they are innovative and conservative at the same time, so there is a convergent relation between the new and the old generations. On the other hand, this relationship is never seen outside the report provincial culture- civic culture, as language itself can not be seen outside the report language - culture, language - thought. So the starting point for all problems in sociolinguistic perspective is the way these communities are integrated within the host communities.*

**Keywords:** *Sociolinguistic, archaic dialect, standard literary language, renovator, preserving, integration.*

---

This study comes after a deep work in the dialect of the coastal region of Epirus in southern Albania, -Chams, as one of the first studies in sociolinguistic perspective. For the geographical description of Cham province, we have preferred what comes from the elderly today, "Chameria is situated from Shalsi River to the black stones in Preveza" (Qemal Haxhihasani, 1971). They often cite one of its side "e ndërsme sides." According to science language "the ndërsme" is "upland Chameria", while the western part lies in the lower areas, it is called "fields", or "true Chameria (Selman Sheme 2008). E. Çabej according to Albanian phonetic laws mentioned the continuity between the two terms Thyamis - Cham: "Cham - Chameria, Cham, and Çamërisht, the name of the most southern province of Albania, its people and the dialect of their own. As first was considered by M. Leake (Researches in Greece. 1814, p. 13, according to Shpresa Hoxha 2007) is the reflex of Thyamis, the ancient name of today's Kallama River. This verified the Albanian autochthony. (sh. Bul. I Univ. Shtet. të Tiranës. Seria. Shk. Shoqërore 2 (1958) 61" (Eqerem Cabej 1976). Today's Chameria is the Thesprotia of the ancient Illyrians. The names of mythological and historical figures also prove this.

The division of boundaries at the London Conference in June 1913 fragmented Chameria. Terror crimes in Chameria in May 1944 were unprecedented and unheard. After these massacres, many Albanian families of Cham cities were forced to flee to Albania (Hajredin Isufi). Political borders of 1913 resulted not only in the economy but also in the demographic composition. The calculation of population data shows that the number of Cham population in Albania, or Epirus Chameria (Greece), Turkey and the diasporas (USA) exceeds 700 000 inhabitants (S. Sheme & A. Hyseni 2008). Tragedy has followed and continues to accompany the people of this province when they wandered in the form of a *dishevelled diaspora* (term borrowed from Shkurtaj) throughout the Albania. Their painful history has been the key points of the interviews, surveys, etc., Because only when they recall the painful years, they forget everything, confesses a Cham that flowed naturally.

As a preserving dialect, Cham approaches and creates us numerous opportunities. After the observations of the static situation, we concluded that Cham dialect is preserving. This feature became the starting point of this study, which has to approach this dialect with the others similar to it. Nowadays, we compare Cham to a mixture of old Albanian authors, Arvanitika language and a mixture of Arbëresh. As advised in the years by the mentor and associate academic Gj. Shkurtaj. He stated in one of his references: *the Cham dialect, continues to maintain today, features of an overcome stage of Albanian (Edlira Troplini 2010), features that, in the course of years, in many provinces generally in the central Albania are alienated sheds that now surprise us (Edlira Troplini 2010). Even younger age, when they hear it, they seem to read the first book of Gjon Buzuku (Edlira Troplini 2009). Certainly, these phenomena may be only encountered in a few dialects of Arbëresh diaspora today. This preservative (conservative) character (Troplini 2009), and other special*

features of Chameria are a good appeal for dialectologists, but also for historians of the Albanian language, phonetics (Eqerem çabej 1957, 1958) and scholars of popular culture, etc. (Shkurtaj 2008)

In this regard we are interested in some works of Albanian and foreign authors, such as Johann Georg Von Hahn, respectively Albanesishe Studien (Albanian Studies), Franz Bopp, as *On the Albanian language in its kinship ties*, Heinrich Karl Theodor Reinholdt entitled *Noctes pelasgicae* (Pellagian nights etc). But even early, these are William Martin Leake (1777-1860) and François Pukëvili (François Pouqueville, 1770-1838). While some of the most popular figures and Albanology linguistics in general, who have given their contribution either directly or indirectly in-depth study of this language in terms of spoken language are: H. Pedersen, E. Çabej, Q. Haxhihasani, F. M. Rrapaj, F. Dyke, N. Stylo, N. V. Falaski, A. Llalla etc.. Valuable contributions to the Chams and Cham language have given other prominent thinkers as Hasan Tasini, Bilal Xhaferri, Muhamed çami, Selman Sheme, Gjovalin Shkurtaj etc.

The question is, "Can we classify all the Cham speakers included the diaspora, as speakers of a particular community?"

To answer the above question, we find very helpful the Lyons' definition about the social community: the linguistic community is defined "all people who use a given language." (John Lyons 1970). On the other hand, different linguistic communities intersect and overlap with each other, therefore, "each individual creates his systems of verbal behaviour in a way that they resemble of those group or groups with who may wish to identify." (La Page and Tabouret-Keller 1985). We also share the same opinion with professor Rrokaj who asserts that geographical criterion is not always a functional criterion in identifying a spoken language. (Shezai Rrokaj 2010).

We consider preserving, a feature that unites utterly in a common denominator all the dialects. For all these we have highlighted the values they conserve, before they undergo extinction in the future. Of course, on the other hand, we are aware of the fact that dialects will disappear and others will arise, but due to a late documentation of the Albanian language and all the other problems still unsolved, especially in the field of linguistic history, we must precede this risk. As Berruto says, "different languages and cultures, even those of minority should be preserved and protected and not push them towards extinction." (Gaetano Berruto 1994).

The strength, which characterizes Cham dialect and Arvanites dialect in Italy, is a preservation and conservation and on the other hand, the development of these dialects under the pressure of linguistic and extra linguistic factors etc. This feature is not only a feature of these dialects, but all Albanian minorities everywhere.

In today's Cham, we distinguish some elements of the early Albanian. To verify such a thing, we have made an approach between the Cham dialect and the oldest Albanian authors, namely, Meshari of Gjon Buzuku (1555). By this approach, we have noticed these common occurrences (Troplini 2009):

- Conservation of long vowels. Buzuku: meh chaat chleneh 188/31; baasi 4b28; teh paah Lih tatti tpaemenit 29b42 etc. tagdiir, undiir, cihuur, buhaar; of shpii (given), do vii (do vent) (will come), i lii (left):

- Lack of vowel y: Buzuku: sutë emii 4b41; Jo ata ta ç hin për gojë pëgan nierenë, por ata qish del 74a15; Cham: n'at qitet qi t'thash ù ti ; (someone mentioned and he appears)

- Buzuku forms were replaced by the personal pronoun I like Cham. Therefore, in both dialects we find it without epithesis - në: atah nëh janë xhudhi edhe u jam... (Buzuku); ù të kam si vajzat e mia tashi (Cham);

- Preserving I, the old intervowel: fëmilë (fëmijë) (child), bilë (bijë) (daughter), kuel (kuaj) (horse), rrumulë (rrëmujë) (mess), milë (mijë) (thousand), palë (pajë) (dowry), valë (vajë) (weave), golë (gojë) (mouth) etc.

- Lack of -j, with emphasis on certain finite words, such as shtëpi-shtëpia (house), qevërr- qevërria (government), Çamëri- Çamëria (Chameria), Parmëthi- Parmëthia, Hasimea, Gjulea, Fatimea (names used for girls), nuse- nusa (bride), dele- dela, (sheep) lule- lula (flower), maçe- maça (cat) etc. Buzuku, -the enclitic e with o- in the verb in the imperative of uniting without a consonant j: huchoe.

- Maintenance of consonant trunks kl, gl mainly in words such as kle- qe ( ishte) (was), kleçë- qeshë (been), glisht- gisht (finger), klumusht ( qumësht) (milk), i glatë ( i gjatë) (long), kliche (kyçe) (wrist), glëmbi (gjëmbi) (thorn), i shklier (i shqyer) (torn), i shklarë (i shqarë- i shkarë) (batty), klishë ( qishë-kishë) (church) etc. Buzuku: i glatë, endiglo, gluhë, clissë, klai/ klanjinë, glunjë (me zdtunë mendetë e atyne qi të ndiglonjinë);

- Some visible concurrence between the two dialects is observed in the conjugation of verbs, mi: kam, jam, thom, konkretisht tek format: jeshë, ish/ jeshëm, jeshët, ishnë; kesha, keshe, kish/ keshëm, keshët, kishnë, kleva, kleve, kle, etc.

- In both dialects are found forms of stigmatic aoristic: (Buzuku) u mbeç, gjegjsh, erdhshë, ù paçë, u gëzuoshë, u mplakshë etj. ; (Cham) i thaçë, ia thaçë ù, t'e thaç ù më parë, do viç me mua; do të shkruaç ti; do t'inqizoç ti...; u bëç (u bëra), u mplakç, u merruaç, u lodhç, u poqç etc.

- The presence of the verb gjegjem and the frequent use of the verb in today's Cham still bring us the old language of "Meshari".

As the researcher Selman Riza cites, we find a mixture of some typical elements of Buzuku, even a mixture of Cham which are some characteristic elements of Cham language as: the presence of "syntactic" emphasis (*jo moj/ çish i strehōjë:m?*); a few unchangeable words of speech, as: *shklata, çish, eni, oj, nek*.

All the approaches discussed above demonstrate the proximity between the two dialects, therefore, the closeness between the two dialects in the earliest stages before Buzuku.

On the other hand, researchers have confirmed that Buzuku's works exceeding the period of explicit evidence like Guilielm Adës, in 1332. *Albanians have a language different from Latin, but in their books, they use the Latin alphabet*. Some other hypothesis as the researcher Niko Stylo through Cham and Arvanitika extends the prior research of Buzuku time, looking at old Albanian elements or Pelasgian to Greek, and reaching some etymological conclusions. He explains that many Greek words considered as *perister, varka*, etc are clean Albanian words. Therefore, for *për er ster* means that was thrown to the wind, meaning the great queen of Pelasgians or Albanians, Peristera, which wears a crown with wings of a dove. The word *varka* comes from the Arvanit word *bark* that means boat, as Homer writes (Niko Stylo, 2007). It is of great interest is the way the author interprets decorated mosaic floor of a small basilica church, near a castle in Shushica, southeast of Vlore, which dates from the 6<sup>th</sup> century AD and nowadays is in the National History Museum in Tirana. Here we see a figure, a person adjacent the image and a text, which scholars have taken as the name of the person who is in the picture, that the author is great man, the eighth king of the Pelasgians, named Beot. Transliterated text of the Latin alphabet writes: *a paq ke ash ose a paq ke atsh (aç)*, pra, *ha pak, ke të hash*, means eat less, you eat, which is the basis of Spartan philosophy regarding lifestyle. (Stylo).

Therefore, we have favoured a different approach between this dialect and that of Arvanit. First let's explain briefly the names by which are called the Albanians of diaspora.

Liku states that, "Greeks first called on all neighboring Illyrian tribes that spoke a common dialect, shared their customs and the way of living with *Albanoi* tribe by the names *Albanoi / Alvanoi, Albanites* or *Arvanites*. Later on the name *Albania, Alban* was borrowed by Italians from the Greeks and then by other people of Europe from the latter. (Hoxha: 2007). "The distinction of names of *Albanians, Arvanites-allvanos* relates to a historical fact: the region of Chameria remained outside the territory of present day Greece after declaring its independence in 1821, which in subsequent years remained under the control of Turkey. This was also the reason according to him that the Chams were called *allvanos* and not *Arvanites* (Llalla: 2007). On the other hand, according to the author the name *Arvanites* and not *Arbereshe* accounts for the fact that the Greeks pronounce letter B of Latin alphabet as V. Instead, the Turks called Arvanites *Arnaut* or *amavud*, whereas orthodox Arvanites of Constandinopole and Egypt were called *Greci*. After these data let's proceed with some common linguistic phenomena between the texts of Reinhold and modern Cham dialect (Ardian Klosi 2005). Among the most remarkable phenomena worth mentioning are:

- The strong consonant *h* (χ), which differs from the strong Albanian *h* marked by Reinhold sometimes with χ and sometimes with *ch*. Klosi has regularly presented this sound with *h*.
- *ng* group, which according to Klosi is marked sometimes with č and sometimes with *k* by Reinhold, but the author in case has simply marked it with *ng*: *nga, ngalkonj*. Regarding this phenomenon, we think that this is the case of the assimilation of *ng* group, which also occurs in the Cham dialect, as a result of which we have once *k* once *g*: *nga > ka, ngarkoj > garkonj, ngas > gas* etc..
- The regular use of *-i* instead of phoneme *y* occurs in both dialects, except that in Reinhold in rare cases this sound appears: *tharëtyrë, vëryt, fëndyell, detyrë* etc.; we should not forget that in the Cham dialect instead of it we find the vowel *u*: *dusheme, duqan* etc..
- The preservation of the unstressed vowel *-ë* in final position: *dhelpërë, këmbëtë, gjatorëtë, të parëtë* etc..
- The conversion of vowel *-ë* into *-i*, in the root of the word: *një, -njiut, njira* etc.. From the data collected in the Cham dialect we have today *njira, nji-it*.
- The *gl, kl* groups are preserved: *i glatë, klishë, klumësht* etc.
- As regards the phenomenon of assimilation likewise in Reinhold we have the assimilation of consonant groups: *mb > b* (R: *banj*; in the Cham dialect: *bî*); *nd > d* (*donjë*), *nx > x* (*xuar*) *xv > x* (*xarris*). Regarding groups *mb > m* (*mërda*), *pm > m* (*jammë*); in the Cham dialect we have: *mb > b* (*bërna*), *pm > mn* (*jamnë*).
- In the Cham dialect we observe as well *q < ç* and *c > ç* (*qysh- çish; cili- çili*).
- Metaphonia is a phenomenon equally active in the Cham dialect too, even in the same words, e.g.: *kulaç- kuleçe, çurap- çurepe, shatë- shetër, peshq- pishq, i glatë- të glet* etc..
- Even in the Cham dialect we find the avoidance of dative and instrumental case as in: *vuante ka uria, e muarë sish* (Reinhold: *jashtë nga mëkati*);
- The accusative ending for the male nouns is *në*. This is often assimilated to *ë*, as in the Cham dialect: *ciapnë, varrnë, gjatorë, burrë* etc..



Verbs that denote in Albanian that the subject is affected by the action in past simple as in Reinhold often have the ending *sh*: *u dogjsh*, *u poqsh*, *u zushë* etc., the same form is also found in Buzuku (Ardian Klosi 2005). The ending of the verb in past continuous, third person has remained the same as in the Albanian of Peloponnese in the speech of old Chams: *lij*, (*linte*), *mbaj* (*mbante*), *vej* (*vente*), *vdís* (*vdiste*), *piq* (*piqte*) etc. (Edlira Troplini 2010). As regards past simple, the ending of third person singular emerges in the Cham dialect nowadays in verbs with diphthong *xuar*, *muar*, *suall* etc..

- Regarding the construction with *pa* we notice that they are very much present in the Cham dialect. We think that in the examples *pa të pienj*, *pa t'e ndiejmë* treated by Reinhold, we are not dealing with the pattern *pa pyetur* (*without asking*), *pa ndierë* (*without feeling*) (as explained by the author), but with a special pattern of the Cham dialect we encounter quite often at the time being: *pa t'e ndoqi me vrap* (*immediately chased you*), *pa t'ia dha të qarit* (*immediately burst into tears*) (*pa* = *immediately*), *pa t'e qëlloi* (*hit you*) etc..

While analyzing the manuscript of Reinhold the researcher Klosi speaks of "vivacity and rhythm of the spoken language", which he thinks has to do with vivacity and rhythm of Patër Basil (collector of Reinhold's arvanitic texts). This brings us immediately back to mind a similar feature that the well-known scholar Riza Selman classifies as a feature of Buzuku's individual pronunciation, but in fact in all this years of studying and getting acquainted with the Cham dialect I have reached the conclusion that that we are neither dealing with Buzuku's individual pronunciation (Riza Selman), nor with vivacity and rhythm of Patër Basil (Ardian Klosi 2005), but with a characteristic feature of the old Albanian.

As seen from the examples, many phenomena were similar to the dialect of Buzuku. Therefore we are listing some common lexical words between the Buzuku Dialect, Reinhold's texts (R.) and the modern Cham dialect as: *Botë* (*dhe*) (*dirty*), *çep* (*sqep*) (*beak*), *dreq* (*drejt*) (*straight*), *nglaturë* (*shtrirë*) (*laid*), *nguç* (*skuq*) (*fry*), *fëmilë* (*R. fëmiljë*: *family*), (*family*), *glanë* (*ngjanë*) (*looked alike*), *gjator* (*gjahtar*) (*hunter*), *gjegj* (*dëgjoj*) (*listen*), *nuku* (*R. nëkë*: *nuk*) (*non*), *njegulli* (*R. mnjegull*: *mjergull*) (*fog*), *parë* (*përpara*) (*in front of*), *pluhurë* (*R. plëhurë*: *pëlhurë*) (*canvas*), *pishq* (*peshq*, -in Chams in Chameria), *qesh* (*vë në lojë*) (*tease*), *thom* (*them*) (*tell*), *u* (*unë*) (*I*), *u-ja* (*urija*) (*famine*) etj.

Many similar phenomena appear both in the Cham dialect and in certain dialects of Arbëresh. An interesting toponym that unites arberesh and Arvanites and therefore both relevant dialects, as evidence to overcome phases of Albanian, is St. Mitri of Koron, a toponym preserved from the Arberesh of South Italy originating from More, or today's so-called Peloponnese in Greece.

Thus, we have noticed that some common phenomena between the dialect of Leke Matrenga (M.) and the Albanian of western Peloponnese (Ardian Klosi 2005), match well with the modern Cham dialect, specifically some words and phonetic phenomena within them, such as *Botë* (*dhe- u*) (*dirty*), *glas* (*gas*, *ngas*) (*drive*), *helmonem* (*helmohem*) (*get poisoned*), *ishtë* (*ështëë*) (*is*), *klënë* (*qënë*) (*were*), *psonj* (M. *mbsonj*, R. *mbsonj*, *mpsuaritë*, - *mësoj*) (*learn*), *nuku* (M/R. *nëkë*, *nuk*) (*non*), *përzierë* (*takuar*) (*met*, past participle), *pra* (*pasataj*), *rerazë* (*gënjeshërë*) (*lie*), *sherti* (M. *sherëtinj*, R. *sherëti*, *psherëtinj*) (*whisper*), *dergjej* (*lengonte*) (*languish*), *thom* (*them*) (*tell*), *u* (*unë*) (*I*), *u-ja* (*urija*) (*famine*), *vashëzë* (*vajzë*) (*girl*), *vetëhe* (*veten*) (*myself*), *jatri* (*barë*, *ilaç* (*medicine*), in Cham dialect we also have *jatro*, - *mjek* (*doctor*)), *kurm* (*trup*) (*body*), *pisë* (*i zi sterr*) (*dark*) etc..

An interesting issue to be addressed is that of common graecism of both dialects used in the modern Cham dialect as: *aguridhe* (*e papjekur*) (*immature*), *allonar* (*korrik*) (*July*), *dhaskal* (*mësues*) (*teacher*), *dhimon* (*R. dhemon*, - *shosh*), *dhiplo* (*dyfish*) (*double*), *fahji* (*h-X*, R: *fajil/fagi*, - *gjellë*), *farmék* (*e hidhur*) (*bitter*), *kallmar* (*R. Kallamar*, type of dessert), *kallathe* (*shportë*), *karfos* (*R. mbërthej*, *gozhdoj* (*hook*, *hammer*); in the Cham dialect sewing thick thing with a big needle: *i karfosa dushekët*), *kurm* (*trup*) (*body*), *lavomë* (*plagë*, *nuk shihet me sy*) (*wound*), *migladhë* (*R. migdhale*), *nikoqir* (*i zoti shumë*) (*capable*), *pis* (*skëterrë*) (*darkness*), *qerdhes* (*fitoj*, *e qerdhese- e fitove*) (*win*, *won*), *taks* (*taks diçka dikujt*) (*taxing something to somebody*).

In the above data draw attention some words that we think that in Cham dialect sometime might have been like the dialects of Buzuku, Reinholdit, Boçari etc., but in the dialect of today they have changed under the general Albanian. So is the case of the word *qell*, which in Cham dialect we find in the form *sell* (Albanian verb - *to bring*), *shtrenjtirë* / *të shtrenjtëtë*; in cham dialect: *ngursier* (*saver*), *fufuakë* / *fufuvajkë*; in Cham dialect: *kukumjaçe* (*owl*); *i halkomtë*; in Cham dialect, *bakwër* (*copper*); *amarti*: in Cham dialect: *gjunah* (*sin*). These examples, but also many others like these, indicate that the developments within each of the dialects cannot be avoided.

Referring always to the conclusions about Cham dialect, we are listing below some common phenomena between Cham dialect and Dialect of Arberesh, through the phenomena highlighted by prof. Shkurtaj in his advanced study dialect of arberesh - "Arberesh Discourses". Both dialects seem to have the following similarities:

- Lack of phoneme *y* and the use instead of it of the phoneme *i*: *grika*, *frin*, *gjims*, *bin* etc. (Lambertz, Demiraj, Solano, Altimari).

- Preservation of older groups *kl*, *gl*: *Gluha*, *glishti*, *klishal*, *kliçi*, *Kloft* etc. (Lambertz, Demiraj, Solano)

- Preservation of sound / in words like: *bilë, gole, ndëlesë* etc., a phenomenon which appeared parallel innovation in both dialects: both in Cham dialect and dialect of the Arberesh of Hora.

- Regarding the two preceding phenomena, areal storage, Solano considers the maintenance of the consonant / as well in the groups: *pl, bl, fl, pl: plak, plëh, bluanj, blenj, flutur, flamur* (Solano)

- The so-called locative case: *ndë dhet, ndë kamaret* (Demiraj etc.).

By the same text we add a few other common phenomenon among Cham and Arberesh dialects, which we find in the monograph "The dialects in Italy" (Gjovalin Shkurtaj 2006, p 161).

In the dialect of **Marceduza** there are observed these concourses (Gj. Shkurtaj 2006) - lack of phoneme / y /; the phonemes /a/, /e/, /i/, /o/, are short before and after the emphasis in Cham dialect as well; they are long when emphasized; the phoneme / ɛ / first emphasis position has the same trend as in Cham dialect to pass in / i / (*kijo*); in Cham dialect is still preserved the terminal *ë* as: *bukënë, ditënë* etc; within the composition of the word is highlighted the platoon *ua* by emphasizing the phoneme *u*: *dual, martuarë, ndërtuarë, grua, duamë* etc; the platoon *ie* with emphasis on *i*: *shërbier, krietë, ngrie* (*grie-Cham Dialect*), *thier, shklirer* etc.; the conservation of old groups *kl, gl*, using the short form -*u* of the personal pronoun "*Unë*" (in this dialect the author noted the use of a different form of the personal pronoun *Unë*, the form *ure*).

In the dialect of **San Marzano** except such phenomena are observed such concourses: the passing of the stressed-*e* into *ë*: *dhëmb, brënda (bërma), gjëmb (glëmb), zëmbra* etc; the passing - the stressed *ë* into the stressed *u* and the stressed-*i* into the unstressed -*u*: *shurbej, kushtu; urizi* etc; the maintaining the early length of pronounced vowels, especially in the overtly terminal syllables; the maintaining of neutral gender in a few words as *të parët, të klarët*; some conjugation's paradigm of verbal forms completely similar to today's Cham dialect (which are not the only ones): *u vata, ti vate, ai/ajo vati; ne vatëm, ju vatët, ata/ ato vatën; u pava, ti pave, ai/ajo pavi; ne pavëm, ju pavët, ata/ ato pavën; U trëmbemë, ti trëmbë, ai/ajo trëmbetë; ne trëmbemi, ju trëmbeni, ata/ato trëmbenë etj.*; the form of the past in the passive voice: *u ka bënë* (and here the participle of the verb *do- bëj* is the same as in Cham language); resemblance to adverbs, prepositions, numerals, conjunctions etc. (Gj. Shkurtaj 2006, p 181); similarities in vocabulary (here are included the words that are distinguished by phonetic features characteristic phonetic of both dialects), as: *Dhez, gjegj, dërsinj, duami, frin, glemb, glisht, klumusht, klij, krie, kushtu, ljip (lip), nguqet (skuqet), nxiret (nxihet), si, shomi, urja (uja, uria), valje (valë, vaj), ve: (vezë), ble:t (koshere), gjellë (jetë), se di:j (se dinte) etc.*

The affinity between these dialects proves once again the confirmed fact of researchers: the affinity between our dialects in early times (Çabej, Riza, Ismaili, Lafe, Demir, Shkurtaj, Beci, Mansaku ..... etc..)

Regarding the Dialect of arberesh, Çabej protects the opinion that both dialects of arbërisht and arvanitish belong to southern Tosk dialect, with multiple common points with Cham and lab dialects, but on the other hand he says that, "*the equality Arberisht – Tosk dialect doesn't explain everything in this issue. ... There is room for differences of more than one view ....*" Although: "*the most founders of settlements Arbëresh derive from the coast of Vlora and surroundings, till Preveza in Chameria and from the respective hinterland.*"

We deny the view that the dialect of arbërisht is a dialectal form in itself, but we think that we are dealing with a variant of a dialect. And this is a conventional label if we refer to *its main fund* created, by distinguishing it *from the element brought with it, as confirmed by prof. Shkurtaj: historical documents mention the immigration of Albanians from Kruja, Shkodra, Durres etc to Italy.* ..... (Gj. Shkurtaj 2006)

Even Demiraj explains the change of phenomena between the different Arbëresh dialects with the fact of Albanian origin from different areas. The author provides an example of preserving feature of vowel *a* before nasal consonants in the dialect of Vakarico that differentiates this dialect from other dialects, for which Eric Hamp thinks that "*the group of dialects of Tosk .. ....*" (Gj. Shkurtaj 2006), and treats to this dialect the feature of nasality, namely reflex / *ae* / of the phoneme *a*, as divergence of this dialect.

From this data processing, we think that this very sensitive issue continues to seek answers and the problem should be addressed to the origin of displacement. **We think also that there are Gheg elements, which are nothing but the reflection of the situation** of the penetration of Arberesh out of the border in different time phases. However, such a thing should be proved only advanced studies related to such issue.

But how does the situation of these Albanian dialects appear within the standard?

Sociolinguistics has frequently done and continues to make object of its study the relations language-dialect (Gjovalin Shkurtaj 2003). In the study of these dialects, the relationship of dialect-standard language draw attention to similar problems, already present in all dialects (by their tendency to orient toward the standard), and on the other hand, for those specific features only to the Chameria dialect, the Arvanites dialect, the dialect of arberesh, all dialects of Diaspora etc.

After a thorough study of Cham dialect for several years, we reached the following conclusions: Besides the two variants or types of speech, the traditional version and new one of this dialect displayed prominently a third process as

well, which is as important as that of the presence of the two firsts. In the conventional way we called it "a process of mixing (interaction)", which plays the role of a communicator between the archaic dialect and the moderated Cham dialect. This is a process that is subject to continuous funnel; a natural and necessary process that decides on those phenomena which will be subject to wastage, conservation, innovation, transformation, change, bilingual situations, violations of the rate of speech, etc.. These last ones are always controlled by an official rate, but also a civil one.

Regarding the Arberesh dialect I think that Kostallari has said everything in these lines:

*... The arberesh are distinguished and will always be distinguished by their endeavor to preserve the mother language ....., to preserve the national inherited values of the tradition and, in particular, in the attempt to assimilate somehow the national standard, a unified language common to all, making it an irreplaceable tool of ethnic self-conservation..... following always the example of national tradition. "(Androkli Kostallari 1985)*

As for the dialect of Arvanites, the issue is more complicated since, making a comparison between the Arberesh in Italy and Arvanites in Greece, we think that the latest ones are really are "unlucky" (term used by Altimari) ... *To the Arvanites miss two conditions: religious difference with the Greeks, with whom they coexist and an identity amplifying founding myth, as has been the myth of Skanderbeg to Arberesh .... (Altimari 2010).* So, despite the same fate, the two dialects life has not been the same: *... in Greece, the political and cultural climate to Arvanites, .....has not been historically so tolerant as occurred in Italy. Though they speak their language, along with the Greek language, they are not treated by the Greek state as a minority,..... this attitude of Greek politics conflicts with the respect to multiculturalism and multilingualism in European institutions, that is a practice of our modern society as well ..... (Altimari 2010).*

From all this, finds explanation the rational attitudes of some linguists, and at certain times the ours as well, regarding the preservation of these dialects: *Wind of change and growing contacts between the Italian element and Arberesh one blows with fury and tries to grab local identities ..... An awareness of families and the entire community is required, a spontaneous and convincing commitment to the best of language that is today threatened today ..... (Costante Fortino 2011)*

Despite the circumstances that accompany these dialects, the standard language plays an important role in unifying the language and leveling the ethnic differences in speaking. We reached this conclusion not only by examining the report "official Albanian" and "regional dialect", but also through a screening test of differences in linguistic behavior of individual the performance it could have as the bearer of a significant lingual deficit, as part of such a social community.

The more evident the gap between the traditional and the literary version, the more frequent are the linguistic prejudices of individual behavior. Linguistic deficit (social) is more pronounced in the dialects under consideration. Indeed, *the conflict between the values of the group based on regional, social and national values, the national values prevail at the expense of less powerful group* (Richard Hudson, AR, translated in Albanian in 2002), but on the other hand, this assertion is more or less sensitive in adaption with the life of each of the dialects. The regional dialects are not all equally oriented towards standard language.

We have been always convinced of the crucial role extralingual factors in the life of the Dialect, one of which with considerable force in the conservation of the dialects in question, is the psychological factor of the displacement of these populations with the same fate (although the purpose of displacement is not the same), that determines the dialects. Certainly, in preserving a dialect affect inevitably other extralingual factors having the root to the first, so crucial to this process, such as: love for the land of his ancestors, the pride of being Arberesh, Arvanites, Albanian, Cham, etc. After this, the most diverse problems to be addressed are: issues of dialectal bilingualism, ways of integration, the kinds of linguistic inequality, conformism and individualism, quantitative problems of the speech, etc.

We are dealing with a variety of factors, which lead us to interesting conclusions about the nowadays relationship, *the regional dialect* of a certain type (in our case, Cham dialect), *ethnic dialect .. etc: Albanian-language standard.* The standard fulfills successfully its function in our institutions and its unifying tendency prevails. During observation in educational institutions the students of Cham origin could be identified either by their surname, or during a long-term observation of the Dialect of any sliding of the case of any phenomenon, largely phonetic. Even among the dialects in question are clearly distinguishable the features of two variants or types of speech, the traditional version, which highlighted the lasting preservation of elements of the old version and new version (Gjovalin Shkurtaj 1998), which reflects wider the transformations and the changes of the system under pressure of macrosystem (Gjovalin Shkurtaj 2000). Although they are found in different environments of a culture, a language and a different way of life, under the pressure of a bilingual situation or constant diglossy, these dialects are regarded by us as infinite deep wells, to which the more it digs, the more we are attracted to them.

In conclusion we can say that the for the study of Albanian language plays an indispensable role each of its dialects. For Albanian language and its history of development, where Arvanit dialect can help us, cannot come to our aid the

Arbëresh dialect, where Cham dialect can help us, cannot help us the other regional dialects. We support the opinion of prof. Altimari or prof. Kostallari etc.. when they claim that, in this dialect has no phases, no development toward the Albanian general, as it happens with all the dialects of the Albanian language dialect as a whole, but on the other hand we think that the development towards the general Albanian general of those dialects is not missing, but it is defined less or more as sluggish.

And finally, we can say that the ratio between the provincial dialect and the standard dialect cannot be seen outside the relation regional culture and civil culture, as language cannot be seen outside of the relation language-culture, language - thought.

Another typical example of this are the linguistic differences related to the field of linguistic prejudice. The first who has studied such a distinction was Basil Bernstein, which argues his hypothesis of linguistic deficit, throwing his first socio-pedagogical ideas (B. Bernstein's by Gabriela Klein 1977). The assertion of Bernstein on the relationship between the expressive lingual capacity and psycho-social experience is not new. He is present in the thesis of linguistic relativity of Sapir Whorf. (Gabriela Klein 1977).

Carriers of this deficit have been the Chams for 50 years to us. They were called the supposed strangers. Carriers of this deficit remain to this day the Albanian minorities everywhere, migrants etc.. But it has never prevented them to be integrated and to survive, or to be successful (Edlira Troplini 2010). This deficit has not reduced their performance at school, at work, in life, to the extent it becomes a limiting factor. Of course, individuals for which we are talking about, pay a great tribute to defeat this kind of difficulty, compared to the rest of the privileged. We reached this conclusion without denying the influential strength of *layer* factor in the language.

The analysis of the so-called sociolinguists on this issue would not make sense without Giglioli's opinion *that it is difficult to come to satisfactory conclusions of language policy, as long as the political, economic, and social level is quite different for different countries. Programs and projects of linguistic planning should be such as to suit individual countries.* (P.P.Giglioli 2000)

Types of inequalities in discourse are diverse and therefore standardization policies can not only be education policy, but they can be lingual in a broader context, in order to serve all speakers, including the Diaspora.

## References

- Altimari, F.: *The Arvanitas of Greece, less fortunate than Arberesh of Italy*, interviewed by, Lorenc Rabeta, newspaper "SHQIP"
- Bernstein, B. *Sociokulturelle Determinanten des Lernens* in "Kölner Zeitschrift für Soziologie und Sozialpsychologie", according to Klein, G.: "La sociolinguistica": *Orientamenti della ricerca negli Stati Uniti, in Gran Bretagna e nella Repubblica federale tedesca* - Firenze, La nuova Italia, 1977.
- Berruto, G.: *Sociolinguistica*, Bologna, 1994 (revision of 1974)
- Çabej, E. *Lingual Studies*, f. 98, Rilindja, Prishtinë 1976.
- E.Çabej, *Quantity of sound vowels of albanian language*, "Bulletin of State University of Tirana", Series of social sciences, 1957, nr.2, f.207-213 and *For the history of consonants in Albanian language*, "Buletin I Universitetit shtetëror të Tiranës Series of social sciences, 1958, nr 1, f.31-75.
- Fortino, C: *Era of changes tents to assimilate the local identities*, interviewed by Merita Bruci 14/ 02/ 2011, newspaper "Shekulli"
- Giglioli, P. P., *Linguaggio e società*, 2000
- Haxhihasani, Q: *A Review on the dialect of the Cham habitants*, in "Albanian Dialectology", vol.I, Tiranë 1971, vol. II, Tiranë 1973
- Hoxha, Sh. *The contribution of William Martin Lik in the field of albanological studies*, p. 66, Prishtinë 2007.
- Hudson, A. R. *Sociolinguistic* (first revision in Albanian language), Tiranë 2002, f.233, quoted in the work *The theory of lingual deficit within the today's contact of Albanian*, reported and published in the International Workshop on Albanian literature and culture, p. 377, Prishtinë 2010"
- Klosi, A: *Pelasgian Nights of Karl Reinhold* (old Albanian texts of Greece collected by 1850-1860, (K&B), Tiranë, 2005.
- Kostallari, A.: *La diaspora albanese, il dialetto e la lingua letteraria nazionale unificata*, I Congress (4/7), Palermo 1985.
- Llalla, A. *The Arvanitast – the Chams in the Albanian Ethnicum in Greece (the Arvanitas asfounders and leaders of modern Greece 1821-2005*, report held in International Workshop of Albanology, Tetovo-Ohrid, 16-23 September 2007
- Riza, S: "Gjon Buzuku (1555)", *The five oldest authors of Albanian linguistic \_Krestomat simply lingual*, f.378.
- Rrokaj, Sh. *"All Albanians should speak he standard"*, newspaper "Panorama", date 15/ 12 / 2010
- Sheme, S dhe Hyseni, A: *Environmental and geographical aspects Chameri region* in "Cham Issue and the European integration", p. 28-30, Tiranë 2008.
- Sheme, S *Naturaland cultural monuments of Chameri*, Tiranë 2008
- Shkurtaj, Gj. "Arberesh discourses" (Dialectological and sociolinguistic studies in Arberesh settlements of Italy), p. 151, Tiranë, 2006.
- Shkurtaj, Gj: *Some phenomena of Kurbin speech according to linguistic*, SF, 1998.
- Shkurtaj, Gj: *Sociolinguistic*, SHBLU, Tiranë 2000.
- Shkurtaj, GJ: *Sociolinguistic*, Tiranë 2003.

- Shkurtaj, Gj: *Dialectological and ethnolinguistic Value of Cham dialect*, in "Cham Issue and the European integration", Tiranë 2008.
- Stylos, N.: *The vocabulary of Marko Boçart*, pf. 23, Tiranë, 2007.
- Troplini, E. *Some conservative features of Cham dialect*, in the Acts of II. International Workshop of Albanology Tetovë 2009
- Troplini, E. *Verbal system of Cham dialect in diachronic*, in the Acts of III. International Workshop of Albanology, Tetovë 2010
- Troplini, E.: *The learning of Albanian language in our schools. (Some problems of lingual planning)*, a report held in the Conference of Faculty of History and Philology, Tiranë 2010
- Troplini, E: *Some affinities between the Cham dialect and the speech of old Albanian authors* ", in "Alb- Shkenca", Tetovë 2009.
- Troplini, E: *The Cham dialect under the Albanian standard*, in the XXIX. International Workshop on Albanian language, literature and culture", Prishtinë 2010

## From Performance Sports to Sports for All: Romania 1945-1965. Legal Aspects

**Alexandru - Rares PUNI**

Assistant Professor, Faculty of Physical Education and Sports  
"Alexandru Ioan Cuza" University - Iasi, Romania  
Email: punirares@yahoo.com

---

**Abstract:** *The establishment of the communist regime in Romania in 1945 marked the beginning of a series of profound transformations in the Romanian political and social life. These changes also affected the field of sports activities, which were, at the time, at the initial point of their institutional organization. Our research aims at analyzing, in a critical manner, the main legislative regulations regarding sports life implemented between 1945-1965. Their main goal was to promote the benefits of practicing physical activities regularly, not only by performance sportsmen, but also by the majority of the population. This initiative matched the international tendency commonly called "sports for all", advertised by the founding-father of modern Olympic games – Pierre de Coubertin. The laws issued by the communist authorities stipulated the establishment of national institutions and organizations in charge with the situation of the Romanian sports field, with the financial aspects requested by such endeavor and with the funding provided by the government. Unfortunately, many of the objectives formulated in these laws were left only in their initial form or were completed much later than initially intended.*

**Key words:** *performance sports, mass sport, communist regime, Romania.*

---

### Introduction

The present study aims to briefly present the main legal regulations directly related to physical activities and sports that were promoted in Romania by the Communist authorities between 1945 and 1965. The impact of these decisions upon the future development of the Romanian sport movement was highly important, since they provided the institutional and logistic mainframe, mandatory in order to obtain better performances abroad. At the same time, through sport practice, the Communist Party in power tried to control and to remove the ancient democratic values inherent to the Romanian people. The aggressive promotion of practicing mass sports in Romania, including by the means of the legal regulations further presented, targeted the alignment of the physical activities already popular here with the Russian norm, which had to be obeyed by the letter. Due to a happy coincidence, in the Western Europe, at the time, was most famous the "Sports for All" slogan, notion envisioned at the end of the XIXth century by Baron Pierre de Coubertain (the forefather of the modern Olympic Games), which also consisted in constantly promoting physical exercises both within the common people, and the performance sportsmen as well (MacAloon, 1981).

### General Political Framework

In the afternoon of 23 August 1944, King Mihai of Romania, with the agreement of all the political parties in the country, ordered the arrest of Marshal Ion Antonescu, Romania's exit from the Axis and the war against the United Nations, parallel to the partial reinstatement of the 1923 Constitution. Thus, 23 August became a crucial moment in Romanian national history, since it marked, on one hand, Romania's exit from the II-nd World War, and on the other hand the beginning of the establishment of the Communist regime. As a consequence of this very day, the communists already existing in the country, with the help of the Red Army based in Romania (which behaved as an occupational army), imposed their presence in all state institutions, and were co-opted to govern the country since the first two Governments after 23 August, those led by Generals Sănătescu and Rădescu. At the end of 1946, Romania was the last country in South-Eastern Europe ruled by a monarch, a symbol of the non-communist world, who was also very highly regarded by the people. On 30 September 1947, under the Soviet pressure, King Mihai was forced to step down his throne and go into exile, while the country was proclaimed People's Republic (Hitchins, 2004). The new status quo was reaffirmed on April 1948, when was adopted the first Constitution of the now-Communist Romania. The Communist Party remained the sole leading power in the state, by annihilating political pluralism and abolishing the monarchy; the 1952 and 1965 Constitutions strengthened, legally speaking, the existence of this one-party political system (Deletant, 1997). The most important Romanian political figure from 1945 to 1965 was Gheorghe Gheorghiu-Dej, the leader of the Romanian Workers' Party (Deletant, 2001). From 1948 to 1965, the Romanian communists were completely dominated by the Soviets, who also imposed the internal structure, the political message, and also their action pattern for imposing and

consolidating their power. In 1958, after the Red Army retreated, leaving behind the Romanian territory, the party self-constructed a new legitimacy, based on a gradual promotion of the national Communism, freed from the Russian influence. The independence of the Romanian Workers' Party from Moscow was underlined by the *April 1964 Declaration*, which also had the role of increasing the popular support towards the Communist regime (Niculescu-Mizil, 1997). Nevertheless, the newly-embraced political statement did not mark the renouncement from the Stalinist governing system, based on repression and the violation of the fundamental human rights.

### **A New Vision upon Physical Activities and Performance Sports**

The profound changes brought by the implementation of the Communist regime and the abolition of all democratic elements deeply influenced the field of physical education and sports, too. Although it had no apparent connections with politics, they have been used by the Communist authorities as a propaganda device meant to advertise the benefits of Socialism, and also as an instrument for controlling the masses. Romanian Communists correctly identified the fact that sportsmen could become their best ambassadors abroad, bringing along an image capital not to be neglected.

Similarly to other domains, all the advances realized during the previous regimes were ignored, and was made a clear separation from the democratic practices, doubled by a complete submission to socialist ideology. Romanian sport had to be adjusted in order to perfectly fit the Soviet pattern, impossible to be left aside.

According to official statements, the problem raised by physical culture and sports became a state issue. The Communist authorities considered physical education as an essential part of the more general program destined to educate the working people, a type of education based on the Communist principles. For the multilateral progress of the Communist people, sports and physical education were highly important. The role played by physical education within the communist education has often been underlined by the Marxist-Leninist classics: Karl Marx considered that educating the young generation meant "first of all, the education of the mind, secondly the physical education and thirdly technical training" (Marx, 1962). Mind and body had to be equally developed, in order to create a "new type of man", more robust and competitive (Boia, 2000).

The image Communists created about the sports life in Romania before 1945 was totally negative. According to them, during the previous regime, the accent fell exclusively upon performance sports, while mass sports were neglected, for the profit of the higher social classes. According to the Marxist-Leninist ideology, the access of common people to physical activities and sports was quite reduced. Moreover, the material basis requested by the practice of sports was also limited; after the end of World War II, the few existing sport halls and fields were in ruins, and needed huge investments to be put back in use. The number of professional trainers to guide the beginners and amateurs was also very low, reported to number of those who might have practiced physical activities, if conditions would improve. During the democratic regime, sport was characteristic for the bourgeoisie and the wealthy gentry. Inactive, bored, obese, their representatives practiced games of fortune, and also those sports deemed to be 'noble', like fencing, tennis, and racing. In a capitalist society, sport was considered a means to acquire wealth, a profitable business. The most expedient sports, financially speaking were boxing and football, very popular among the people, while others were virtually unknown (Societatea pentru răspândirea științei și culturii, 1953).

These depictions of how physical education and sports were before the instauration of the Communist regime is opposed to the other, quite idyllic, where the working class can freely practice physical activities, due to the efforts of the Communist authorities. After 1945, it was widely promoted the practice of mass sports, seen as an efficient pro-communist and anti-capitalist propaganda. Living by its slogan, 'All sports for the people', the new movement advertising physical culture and sports spread throughout the country, reaching people belonging to all social classes. The practice of mass sport by the common people and not only by performance sportsmen also influenced the general health, according to the Communist authorities. Physical activities, if practiced periodically, could contribute to preserving the health of the working people, and also to preparing them for fulfilling their social functions (Fărcas, 1984).

Nevertheless, the support given to mass sports against performance sports did not automatically lead to extraordinary results in international competitions. Mass sports generated uniformity, mediocrity, while performance sports brought worldwide fame. Similarly to other Communist countries, in Romania too was attempted a complete fusion between performance sports and mass sports. This is why, under the cover of the sportive associations controlled by various institutions of education, state companies or production units were organized preparation centers for performance sportsmen, who were the beneficiaries of modern facilities and training conditions. Officially, these athletes were the employees of the respective factories/institutions, without really working there, since their sole role was that of preparing for various sport competitions.

In order to spread mass sports throughout the entire country in a relatively short period of time, the Communist authorities adopted a series of legislative regulations, which stipulated the foundation of specialized structures to manage sports at the national level.

### **Legal Regulations Regarding Sport and Sport Activities Issued from 1945 to 1965**

The first legal regulation adopted by the Communist authorities in what concerns the development of physical culture and sports according to socialist principles, was Law No 135 of 9 March 1946, which stated that the only organization able to lead the mass and performance sports movement was the Popular Sport Organization (PSO). This organization was founded by communists on 15 December 1944 and received the support of the various unions and youth organizations, in order to promote sports within the working masses from both rural and urban areas. Until 7 March 1946, PSO functioned simultaneously with the Union of the Sports Federations from Romania (USFR), which represented the ancient sports federations, sport associations and bourgeois clubs, unaltered by communist ideas. Since 7 March, USFR was abolished by the Communist authorities, while PSO assumed all its attributions and prerogatives.

Law No 135 of 9 March 1946 was structured in four parts. The first one, entitled "General Regulations", stipulated the foundation of the Popular Sport Organization, which "will function by the Presidency of the Council of Ministers". PSO was declared the only institution legally invested to lead and control all sports resorts and federations, both central and regional, from the sportive, educative, technical, administrative and financial point of view ("Monitorul Oficial", 1946).

The main purpose behind founding PSO was the creation of auspicious conditions for "promoting by all means sports, physical education and tourism among the masses, by creating the most favorable conditions for it", followed by a new classification of the Romanian sports federations, which also received "functional and financial directives". Financially, the law stipulated that "the state will support PSO and all the sport manifestations organized by PSO through various subventions, tax exemption, tax waivers" ("Monitorul Oficial", 1946).

Structurally, the law postulated that PSO had to own five different central resorts, each one targeting a specific social class/group - union, university, school, army and countryside -, with its own internal regulations and set of instructions. Moreover, specialized sports federations were to be founded (one for each sports branch), which also needed to enroll to PSO in order to function legally. This organization was led by central organs, such as: the General Assembly, the Central Committee, the Consulting Council, the Permanent Executive Office, the Central Resorts, the Committees of the various Federations; their functioning was pre-established by internal regulations ("Monitorul Oficial", 1946).

A special chapter from the third part of the law regarded the PSO budget, which could be secured by: a) subventions allocated from department budgets; b) 5% from the total gains from horse racing; c) 5% from the income resulting from all shows, excepting philanthropy galas; d) federation incomes, resulting from individual demonstrative shows; e) taxes and contributions; f) individual and random incomes. ("Monitorul Oficial", 1946)

The financial basis for founding PSO was ensured by the state. PSO was also provided, for free, with all stadiums, sport fields, swimming pools, and the respective installations. The urban communities were forced to build at least one stadium or a sport field with tribunes, while the municipalities were also requested to build a swimming pool "useable in winter, too". The expenses imposed by building these edifices were covered by contracting grants guaranteed by the state, which were then covered by allocating the corresponding amount of money to the current budgets.

According to the Communist chronology, the period between 7 March 1946 and 9 August 1949 represented a transition stage in Romanian sports, from the ancient bourgeois forms of organization to the new ones, characteristic to the "popular democracy". The first institutionalized form of mass control through sport, namely PSO, functioned until 1949, and it took various radical and unpopular decisions, meant to enlist Romanian sports within the organizational and functional norms of its Soviet counterpart. The new sports movement mobilized a very large number of young people, by organizing various sports competitions, such as: Youth Union Cup, People's Ski Championship, Working Youth Cup, "Let's Meet 1 May" cross, People's Chess Championship etc (Postolache, 1975).

In order to finance the increasing number of sport competitions throughout the country, was adopted Decision No 640 on the constitution of the "Cultural and Sportive" fund, issued on 24 June 1949 and published in "Buletinul Oficial" No 40 on 25 June 1949. This law stipulated that "all State companies, all types of cooperative farms, the State agricultural households, and also all the private companies are compelled to monthly maintain and support the respective unions, beginning with 1 January 1949, with an amount of money equal to 1% of the total net wages paid to the workers." These sums were to be deposited to the State Bank in each union's account, constituting the "Cultural and Sportive" fund, destined to ensure a better development to unions' cultural and sportive activities. ("Buletinul Oficial", 1949)

On 26 June 1949, the Political Office of the Central Committee of the Working Party issued a "Decision upon the continuous stimulation and development of physical culture and sport", leading the sportive movement in Romania on a



new stage of its Socialist evolution. This document discussed the necessity to replace PSO with the Committee for Physical Culture and Sport (CPCS). Moreover, attending classes of Physical Education became compulsory at all school levels, in such institutions, and it needed to be paralleled by a sustained ideological training, for both teachers and sportsmen.

Decree No 329 in 6 August 1949 stated the foundation of the Committee for Physical Culture and Sport that was supposed to function by the Council of Ministers, following a series of strict rules. Among the main responsibilities of this institution, we should mention:

- ✓ To decide the norms and take the necessary measures for developing physical culture and sport, (...) in order to spread them (...) among the working class, countrymen and students;
- ✓ To lead and control the activity of all the organizations focused on physical culture and sport;
- ✓ To coordinate the activity of mass organizations and public institutions related to physical culture and sport;
- ✓ To study, assess and apply, according to scientific research, "following into the footsteps and using the vast experience of the Soviet sport", new teaching and practicing methods for physical culture and sport, for using the most advanced sports techniques and "realizing an advanced physical culture";
- ✓ In collaboration with the Ministry of Public Education, it establishes physical culture and sport programs and controls their implementation in all education areas, at all levels;
- ✓ Organizes, tutors and controls sportive technical education at all levels, ensuring the recruitment, training and rational use of all the necessary staff to physical culture and sport, and also the ideological growth of the teaching members and top sportsmen;
- ✓ To stimulate and supervise the perpetual search for new sportsmen within the youth, and to carefully take care of their training, in order to successfully compete in those competitions;
- ✓ To help increase the number of sports fields, sports installations and set-ups, to establish the norms for their building, to control and coordinate their use;
- ✓ To establish the quantity and quality of all sportive equipment needed to attain the goal defined by the Committee; to present those for examination before the State Planning Commission and for abrogation to the Council of Ministers; to supervise the rational production and dissipation of all the sports materials and equipment received;
- ✓ To guide the sports media, to edit books, booklets, guides, bulletins and other publications regarding physical culture and sports; to give its agreement upon the publications in the same field, issued by other organizations and institutions;
- ✓ To organize, in collaboration with the Ministry of Health, the medical assistance requested by the sportsmen;
- ✓ To confer sports medals for activities related to physical culture and sports and to establish the qualification attributed to each sportsmen and all-levels instructors;
- ✓ To establish and maintain sports relationships with the outside world, and to represent, through its messengers, the interests (...) in what concerns sport, in the specialized international forums and conferences. (Nicu et al., 2002)

The law also stipulated that CPCS's leading committee comprised one president and four vice-presidents, nominated by the Council of Ministers, and twelve to eighteen members, elected by the same state institution, at the proposal of the President of the Committee. By all County People's Councils functioned County CPCS Committees, and delegates for Physical Education and Sports acted by all People's Councils, too.

When carefully analyzing the main regulations implemented by this law, it is obvious that CPCS's role was to supervise the Romanian sports movement, which needed to coordinate with the politics of the Communist Party in power. In other words, sport was regarded as a means to control the masses, since all practitioners also received an ideological Socialistic indoctrination, both from the sportsmen and from those who trained them. An important role in attracting the youth - from both urban and rural environments - had the Young Workers' Union, the newest wing of the Romanian Workers' Party.

An important aspect of this law, which was also put to practice, regarded the arrangement, maintenance, repairing or construction of sport centers, stadiums, parks, sport fields etc. These were considered essential to the practice of sport activities, since, at the end of the IInd World War, Romania had only a few functioning sport bases. This type of infrastructure was not considered a priority in a country where the traces of war were still visible, and whose economy nearly collapsed. The Communist authorities spent, from 1945 to 1965, important amounts of money on constructing or on repairing modern sport bases, sometimes to the prejudice of other investments. The most impressive realization of this

period is, undoubtedly, the Culture and Sport Park of Bucharest, built in 1953, which had, at its core, "23 August" Stadium, a mammoth comprising more than 60,000 places.

On 2 July 1957, the Central Committee of the Romanian Workers' Party and the Council of Ministers of People's Republic of Romania decided to reorganize the movement for physical culture and sports, and to found a new organization for managing it – the Union for Physical Culture and Sport (UPCS).

The emergence of this new advisory and controlling organ was preceded by a thorough analysis of the CPCS activity, from 1949 to 1957. It was underlined the existence of various negative aspects, among which the more important were: the outdated system of organization, with parallel leading centers, from top to the bottom (futile bureaucracy), and the neglect towards the mass aspects of physical education, favoring an excessive concern with performing sports; all these justified somehow the dissolution of CPCS.

Beginning with 2 July 1957, it was decided to gradually cease the activity of CPCS, and to create a large popular organization, based on the principles of democratic centralism, namely the Union for Physical Culture and Sport (UPCS); it also led, advised and managed all activities related to sport and physical culture.

The main provisions of this legal regulation were the following:

- to found sport collectivities, meant to focus the organization of mass sports and mass physical culture activities at the workplace (in factories, artisanal cooperative centers, schools, Car and Tractor Stations, state farms and cultural centers). Within all these institutions were intended to function sport divisions, which would participate to local, regional and national competitions;
- to found sport clubs – functioning as judicial persons – destined to performance sports. These could be: union, student, military, rural etc. clubs, meant to serve a certain territory, or to function by big factories;
- student competitive activities developed during school, national or youth championships ("Spartachiade"); sport activities involving children or pioneers were controlled by the young pioneer organizations already functioning within schools, pioneer palaces or clubs, based on a curricula elaborated by the Ministry of Education and Culture, UTM etc.;
- The Central Committees, one for each sport, went back to their previous name, as sport federations; moreover: "The sport federation is a judicial person, the highest technical forum of a specific sport branch". The federations will concentrate their activity on working with a large number of volunteers, active within all colleges and committees, with only a few workers actually on their payroll;
- The Romanian Olympic Committee (ROC) was intended to function under the same conditions as CPCS; it was founded the Association for "Popular Tourism", destined to the development of tourist activities and excursions.

Similarly to the previous laws, special attention is given to the way in which sport activities were financed. The solution at hand was a price reduction for all sport equipment; furthermore, the Ministry of Finance had to act in order to diminish import taxes, and reduce the taxes on sport events organized by UPCS or its divisions. The amount of money spent on organizing the sport clubs and on making them functional came from the contributions of sport collectivities, from selling tickets to the important sport events etc.

Another aspect of this law worth mentioning is the decision regarding performance sport. If previously it has been chastised and considered a bourgeois heritage, this particular law can be considered its public rehabilitation. The Communist authorities realized that mass sport does not bring international acknowledgement and prestige, since remarkable results can only be the offspring of performance sport.

It would be unfair to consider these laws as bad or unfortunate only because they were introduced by the Communist authorities, so unpopular nowadays. They also had their good parts, which are constantly ignored. A positive aspect was the compelling need to develop the infrastructure, for all Romanian citizens to be able to practice sports in the best conditions possible. The building of sport fields, training camps, stadiums, parks, was a good thing, given the fact that the war had already destroyed many of the constructions destined to relaxation and sport activities. Their effort to attract children and to enlarge the selection base for performance sport made possible, during the Communist regime, for the Romanian sportsmen to have remarkable results in international competitions, accomplishment unequalled after 1989. The Communist authorities' main mistake was their intention to use sport as a way to advertise the qualities and benefits of the socialist ideology and lifestyle.

The new law designed an institutional and administrative Romanian framework for practicing sports, by stipulating clear objectives, attributions and resources, which, in turns, led to a better sportsmen selection and training for international competitions. Nevertheless, the remarkable results obtained by the Romanian athletes will only occur after 1965, when all the regulations destined to sustain and promote sport will be fully implemented and will have the opportunity of proving their efficiency.

The best Olympic results from 1945 to 1965 can be found in the following grid (Postolache, 1979):

Year	Location	Gold Medals	Silver Medals	Bronze Medals
1952	Helsinki	<u>Sarbu Iosif</u> - small caliber rifle 40 shots (target shooting)	<u>Tita Vasile</u> - middleweight, 75 kg (boxing)	<u>Fiat Gheorghe</u> - super featherweight, 60 kg (boxing) <u>Lichiardopol Gheorghe</u> - speed pistol shooting male (target shooting)
1956	Melbourne	<u>Rotman Leon</u> - C-1 1000 m male (kayak-canoe) <u>Rotman Leon</u> - C-1 10.000 m male (kayak-canoe) <u>Linca Nicolae</u> - light middleweight, 69 kg (boxing) <u>Petrescu Stefan</u> - speed pistol shooting male (target shooting) C-2 1000 m male (kayak-canoe) <u>Alexe Dumitru</u> <u>Ismailciuc Simion</u>	<u>Negrea Gheorghe</u> - light heavyweight, 81 kg (boxing) <u>Dobrescu Mircea</u> - flyweight, 51 kg (box) <u>Szabo Orban Olga</u> - foil individual female (fencing)	<u>Lichiardopol Gheorghe</u> - speed pistol shooting male (target shooting) <u>Dumitrescu Constantin</u> - light welterweight, 63,5 kg (boxing) <u>Horvath Francisc</u> - greek-roman 57 kg (wrestling) <u>Leustean Elena</u> - floor exercise female (gymnastics) Female team (gymnastics) <u>Leustean Elena</u> <u>Fodor Dobrovolschi Elena</u> <u>Hurmuzachi Georgeta</u> <u>Iovan Sonia</u> <u>Sacalici Elena</u> <u>Vatasoiu Emilia</u>
1960	Roma	<u>Parvulescu Dumitru</u> - greek-roman, 52 kg (wrestling) <u>Balas Iolanda</u> - high jump female (athletics) <u>Dumitrescu Ion</u> - metal plates (target shooting)	<u>Cernea Ion</u> - greek-roman, 57 kg (wrestling)	<u>Manoliu Lia</u> - discus throw female (athletics) <u>Rotman Leon</u> - C-1 1000 m male (kayak-canoe) <u>Taranu Ion</u> - greek-roman, 73 kg (wrestling) <u>Vicol Maria</u> - foil individual female (fencing) <u>Monea Ion</u> - middleweight, 75 kg (boxing) Female team (gymnastics) <u>Leustean Elena</u> <u>Iovan Sonia</u> <u>Poreceanu Schlandt Utta</u> <u>Ionescu Anastasia</u> <u>Lita Emilia</u> <u>Niculescu Elena</u>
1964	Tokyo	<u>Balas Iolanda</u> - high jump female (athletics) <u>Penes Mihaela</u> - javelin female (athletics)	<u>Igorov Andrei</u> - C-1 1000 m male (kayak-canoe) <u>Bularca Valeriu</u> - greek-roman, 70 kg (wrestling) <u>Tripsa Ion</u> - speed pistol shooting male (target shooting) <u>Lauer Hilde</u> - K 1 - 1.000 m female (kayak-canoe)	<u>Manoliu Lia</u> - discus throw female (athletics) <u>Parvulescu Dumitru</u> - greek-roman, 52 kg (wrestling) <u>Cernea Ion</u> - greek-roman, 57 kg (wrestling) K-4 1000 m male (kayak-canoe) <u>Vernescu Aurel</u> <u>Sciotnic Atanasie</u> <u>Turcas Mihai</u> <u>Cuciuc Simion</u> K-2 500 m female (kayak-canoe) <u>Lauer Hilde</u> <u>Sideri Cornelia</u>

## Bibliography

- "Buletinul Oficial", 1949.
- "Monitorul Oficial", no. 40 from June 25<sup>th</sup>, 1949.
- "Monitorul Oficial", no. 58 from March 9<sup>th</sup>, 1946.
- Boia, L. (2000). *La mythologie scientifique du communisme*. Paris: Belles Lettres.
- Deletant, D. (1997). *România sub regimul comunist*. Bucuresti: Fundatia Academia Civică.
- Deletant, D. (2001). *Teroarea comunistă în România. Gheorghe Gheorghiu-Dej si statul politienesc (1948-1965)*. Iasi: Polirom.
- Fărcas, V. (1984). *Activitatea sportivă de masă*. Bucuresti: Editura Sport-Turism.
- Hitchins, K. (2004). *România (1866-1947)*. Bucuresti: Editura Humanitas.
- Kiritescu, C. (1964). *Palestrica. O istorie universală a culturii fizice*. Bucuresti: Editura Uniunii de Cultură Fizică si Sport.
- MacAloon, J. (1981). *[This Great Symbol: Pierre de Coubertin and the Origins of the Modern Olympic Games](#)*. Chicago: University of Chicago Press.
- Marx, K. (1962). *Opere I (vol. XIII/Part I)*. Bucuresti: Editura Politică.
- Nicu, A. (2002). *Enciclopedia Educatiei fizice si sportului din România*. (vol. 3, pp. 21-45). Bucuresti: Editura Aramis.
- Niculescu-Mizil, P. (1997). *O istorie trăită*. Bucuresti: Editura Enciclopedică.
- Postolache, N. (1975). *Din istoria miscării sportive muncitoresti si de mase*. Bucuresti: Editura Sport-Turism.
- Postolache, N. (1979). *Istoria sportului românesc în date*, Iasi: Editura Junimea.
- Societatea pentru răspândirea stiintei si culturii. (1953). *Sportul în R.P.R. Sport de masă*. Bucuresti: S.R.S.C.

## Children 7-9 Years of Age Coping with a Parent Diagnosed with Cancer

**MSc. Genta Kulari**

University of Tirana,  
Faculty of Social Sciences  
Email: gentakulari@gmail.com

**Abstract:** Statistically, one in three families has a member diagnosed with cancer at one point in life (Veatch and Nicholas, 1998), however other than the sick member of the family, it has been noticed that the rest of the family is emotionally touched by this deviation from their regular lives. Couple relationships in these cases and especially the psychological state of the patient have been crucial to researchers. Other members of the family, such as the children, are often disregarded and not dealt with the same endeavor as the couple or the cancer patient. Young children for instance, often reveal signs of somatic and psychological disorders associated with typical behaviors to attract attention. This psychological study focuses on the analysis of these typical behaviors that lead to the Inferiority Complex generated in children 7-9 years of age who have a parent diagnosed with cancer. It identifies two conditions that bring to the development of this complex; these being the self-evaluation of the child in this period, and the interactions and relationships with peers in school. Another purpose is to identify and study compensative perfectionist behaviors that these children activate by taking more responsibility upon them and exchanging roles in the family, from a parent-child to a child-parent environment and vice versa. Variables that can influence the behavioral changes include child gender, sick parent, child's caretaker (nanny) etc. On the other hand this is the first psychological analysis of this problem in Albanian, targeting all social classes making it more understandable to parents and families in such conditions. The participants in this study were seven families who have children of age 7 – 9 and one parent diagnosed with cancer. The families are patients at the Oncologic Hospital Mother Teresa, Tirana. Two of them have a member hospitalized as a result of surgical intervention and the other five have patients who have regular visits to the hospital due to medical examinations or chemotherapy. Three methods were used to measure the inferiority complex. They are: "Rosenberg's self-evaluation", "PRQ" and a semi structured interview for identifying the parent-child relationship and the perfectionist behaviors that compensate the inferiority complex. This study shows that children, knowing the situation the family is in and wanting to get attention, act with perfectionist ideas and try to relieve burden from their parents. However, the more they go on with these behaviors the more they feel left out and reach a point of very low self-esteem. In this article it is shown how one event leads to another and a very strong and obvious base is formed for the formation of the inferiority complex. The article also advises families to prevent this condition by consulting with a psychologist.

**Keywords:** Inferiority Complex; children; cancer; parent

### Introduction

Ansbacher H.L and Ansbacher R. R. (1964) argue that the Inferiority Complex is an abnormal psychological state, got from a tendency to convince oneself of surreal ideas that, in our case, eventually lead a child to underestimate himself, become more emotional and seek praises from others. This is different from a feeling of inferiority in that it is not only a moment or phase that can be ignored. In fact, it transforms children into victims who justify their lost behaviors. (Adler, 1969)

The symptoms of the Inferiority Complex may vary, but Adler classified them in two big groups:

- a. Strategic behaviors that include a form of seeking attention
  - b. Criticism toward others and worries about completion of a certain assigned task
- Laing (1988) presents some of the characteristics of this complex to be underdeveloped social activity, "bitter taste" attitude, violence, overemotional, fishing for compliments, critic to the world etc.

The environment in which the children grow is important because it can influence their behavior. In the case when children have a parent diagnosed with cancer, they try to release burden from their parents, but only end up having low self-esteem due to the feeling of being left out. After the phases that a parent goes through to fight cancer (L'Institute National du Cancer, 2007), the child has developed the fear and deals with it in his own way, usually one of the ways of Inferiority Complex.

The Inferiority Complex is often associated with compensating behaviors. Children aim to reach perfection, to prove to others the abilities that they possess. Adler argues that these feelings of inferiority are seen as a weakness and therefore denied. Denial can sometimes be unconscious, even to the point that the child might not realize he is feeling inferior. These feelings often lead to aggressive behaviors when contradicted, associated by a need for superiority.

Self-esteem is the inner value of a person, which makes them feel worthy or not. These values are tightly related to ego and those people who have a low self-esteem often suffer from the Inferiority Complex. (Jones, 1977) The amount of self-esteem is earned through experience and ways of reaction to a certain situation, especially during childhood. (Mruk, 1995) Following Freud's theories, a low self-esteem can result from a 'bad' behavior, characterized as such from the superego. However, this concept varies depending on the country or region of study. For instance, in the society of North America a high self-esteem means a good mental state, which is not the case in the Japanese culture. The Albanian concept of self-esteem is very well defined by these theories and is quite similar to the concept in North America.

Self-esteem was one of the things I kept in consideration when analyzing the studies.

I conducted several case studies with families of patients of the Oncologic Hospital Mother Teresa, Tirana, who have children of the age 7-9. Through observations, questionnaires and other methods described below, I consider this paper ready to help the families with the same conditions to better cope with the illness and save the harmony within the family.

## Methods

The focus of this study was on children 7-9 years of age and their families in the cities of Fier and Tirana. Two of the families had shared the knowledge of the disease with the child, but none of the others had. The background and socio-economic statuses of the families were very much alike. Some children had their grandparents living with them in their parent's house. We kept constant the age of the children we were focused on as well as tried to select the families based on the previously mentioned categories.

Three measuring methods were used in the cases to evaluate the relationship in the couples as well as parent-child:

1. Rosenberg's self-evaluation questionnaire -- this questionnaire was translated into Albanian and edited accordingly. The questions were scaled from 0 to 3 where 0 = "Don't Agree at all", 1 = "Don't Agree"; 2 = "Somewhat Agree"; 3 = "Entirely agree"
2. Peer relationship Quiz (PRQ) -- questionnaires on interactions between similar aged children also translated into Albanian. Developed by Rigby and Slee (1993) who evaluated the amount of bullying in schools, was published and used as a method in psychological studies in Western countries. It measures three levels of relationships between children of the same age and it was retained to be useful for this study. The questions were scaled from 1 to 4. 1 = "Never"; 2 = "Sometimes"; 3 = "Almost often"; 4 = "Very often". The organization of scales was done according to Likert.
3. Interview, previously rearranged with the purpose to gather data on the connection between parents and perfectionist behaviors that children express. It has 20 questions that are not only focused in this relationship but also to see the children's interaction with other members of the extended family.

The participants were informed before hand on the purpose of these questions and signed an informed consent.

The study was conducted in three phases. First phase included gathering data based on the family history and diagnosis. Phase two consisted of meeting the children in their home environments and administering two of the three measuring methods, those being Rosenberg's self-evaluation questionnaire and PRQ. The two methods were administered in the presence of the healthy parent, who was kept at a distance in order for the child not to feel pressured to give a specific answer. They were respectively 20 and 30 minutes long with a 15-minute break in between. These questionnaires were not entirely a true reflection of the children's emotions, since they were often turning to their parents as if they wanted to ask if they had answered right. The third questionnaire was part of phase three, in which the parents were not present in the room.

Phase three was one of the most difficult ones to complete as the children, even though told the answers would be confidential, initially were concerned about their secrecy. In some cases, children would take a long time to answer and therefore the initial programmed time to finish the questionnaire was not sufficient. Also, when children had troubles understanding the question, it was repeated and in a few cases paraphrased such that the meaning and purpose of it would be preserved.

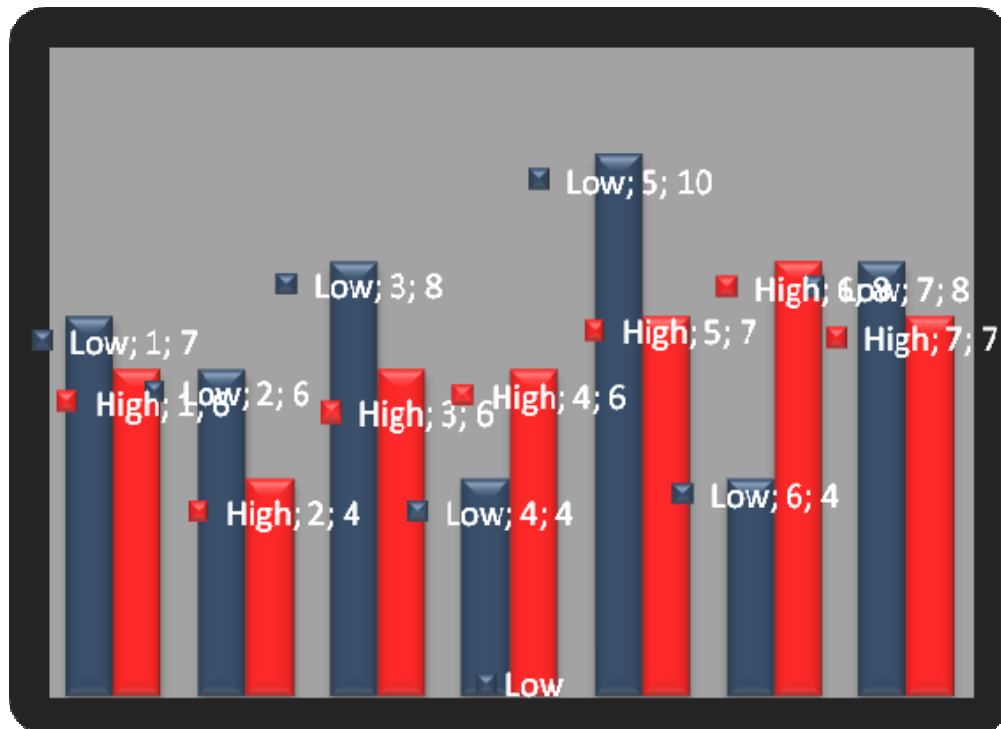
The study, being conducted in an undeveloped society such as Albania, had a few drawbacks. The most important disadvantage in the study was the low number of subject, since the number of families that agreed to help out in the research was very small and even smaller was the number of families who had children 7-9 years old. Furthermore, the parents, especially the sick ones, were very protective towards their children and were reluctant to leave them in a room without their presence. During the last questionnaire they would often walk by the door in order to let the child know that they are free to leave the room whenever they'd like. This caused the children to be in discomfort and give more diplomatic answers, fearing that they might be read.

Another difficult procedure was the data gathering of the history of the family and disease. This was especially problematic for the sick parent as it was an emotional and difficult time of their life. Also, the fact that the children did not

know about their sick parents, made this study more difficult since parents did not want to have to reveal their problem to the children.

## Results

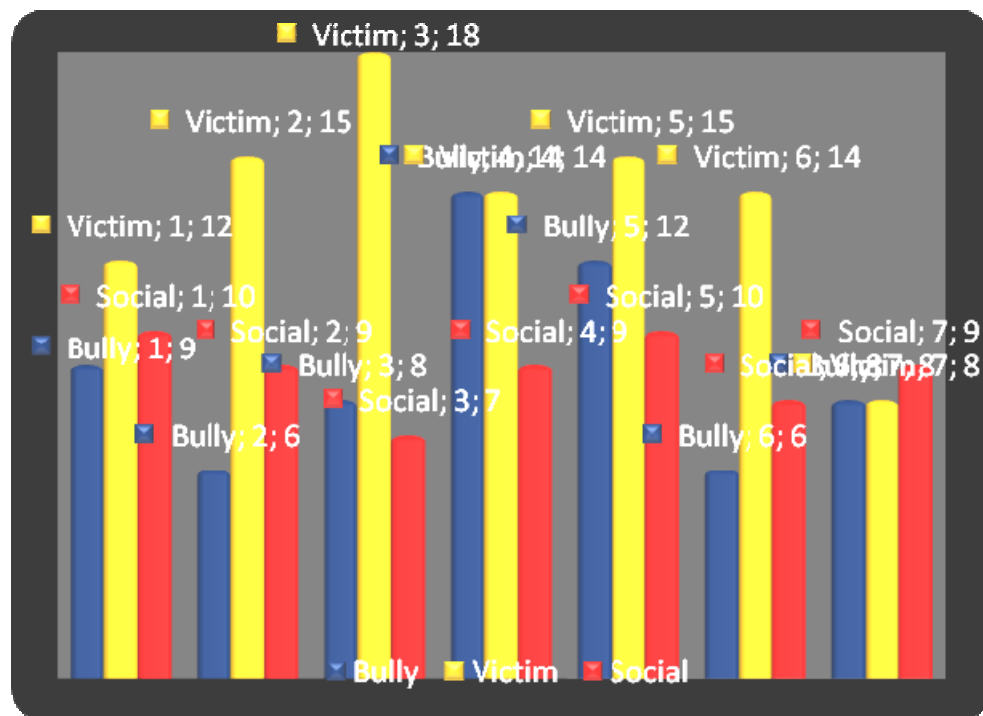
After administrating the self-evaluation questionnaire the result was 5 to 7 children had a low self esteem and only two of them resulted with high self esteem. The 5 children with low self esteem had very little difference in point from the high self esteem evaluation scale. They differed only with one or three points. The graph below shows better this result.



**Graph1.** The points of the self esteem questionnaire

This comes as a result of cancer diagnosis a few months ago so the family especially the children have troubles accepting and adapting to this new situation at home. The low self esteem differs from the other level just by a few points which make us be optimistic. These children have changed the standard of self evaluation due to hard conditions at home but if someone helps them overpass this situation they can still be the same as before the diagnosis.

The results of Peer Relations Quiz were the same as the first questionnaire. Only one child had a successful social interaction in class and the one other had the same points for bully and victim behaviors. The other five children took the position of the victim at class by accepting nicknames, avoiding fights, staying alone, having no friends, etc.



**Graph 2.** The points of the PRQ according to the three levels bully, victim and social behaviors.

The children are very indifferent to the activities at classroom, discussions, and games. They are not focused on the school results. The low self esteem brings even difficulties in the class. The children believe they don't deserve to have attention and evaluation from the peers. The parents are not caring anymore and the children feel guilty for not being good enough to deserve love and for not being well educated. The lack of social activities is another step toward the inferiority complex.

The third instrument was the semi structured interview which gave these results:

- All the children prefer to stay alone at home and do not want the presence of the parents. The only contacts they have with the parents is giving news from school and refer the grades.
- All the children answered they feel angry and hate toward the parents for not telling the truth about the illness. They knew about cancer through internet, television but were not sure if it was the case of the sick parent. Hiding the truth alienate the children who are feeling betrayed.
- The children believe that now they have more duties which are to take care of the family. The boys and the girls took the role of the sick parent to show they are big enough to be trusted. Their main duties are to cook, to wash the dishes, to go to the market etc.
- The presence of the other persons at home irritates them. They felt annoyed from the movements at home; the troubles they cause while trying to help around when in fact don't know how to manage the house.
- The children choose to avoid the problem and all of them replied that preferred more to stay at their room, doing the home works and watching television. They felt not ready to deal with the changes the sick parent is going through.
- No matter how angry they felt with the parents the children were always scared of losing them. They crave for attention and evaluation but even when these two components were lacking the need of love and the fear of being alone made them cry and showed their interest in taking care of the house and the parents.

## Discussion

The administration of the three instruments came to a conclusion which proves the hypothesis of the study. The inferiority complex was measured by the results of low self-esteem, poor social relations at school in the position of the victim, the feelings of anger, hate and boredom toward the family and guilty, mercy, castigation toward themselves.

1. Children 7-9 year old who have a parent diagnosed with cancer have a low self-esteem, are not in harmony with themselves and feel uncomfortable to behave correctly due to the distance the parents are taking for not showing the



prognosis of the illness which in fact is easily seen as a result of medications, chemotherapy, radiations etc. Their intention is noble but leads the child to feel abandoned and scared for losing the most important persons. Low self esteem is accompanied by feeling of inferiority. The children believe they are betrayed from the parents and are not able to change the situation they are in.

2. The feeling of inferiority is first created in the family and then spread in other areas. The relation with the peers in class starts to change. These children have a stressful environment at home and every day is filled with the fear of losing both parents. All these preoccupations are gathered in search of one guilty. The energies to be active in class are very low because they dedicate a lot of time in house works helping the parents. They blame the world who was so cruel for changing the family harmony. The low self esteem comes from the self perception but also from others perception of you. These children believe that the peers who are having a quite time are better than him. The loss of social relations aggravates more the feelings of inferiority.

3. Children with one parent diagnosed with cancer keep inside anger, boredom and hate toward their parents. They are craving for evaluation but as hard as they try the parents are too much focused on the treatment issues. The mechanism they choose to fight is avoidance. Their room is the place they feel safe and the television is their best friend. These children exchange the roles with the sick parent and try to replace him/her during the day with the intention of creating the lost harmony. If the sick parent was the mother then the children did the dishes, cleaning the house, washing the clothes which were the same for girls and boys too. In the case when the sick parent was the father whose duties were to bring money at home, going to the market, protect the security at home etc. The feeling of hate and anger were as often as they knew nobody is appreciating their afford around the house.

4. Children who lived with other people in house like grandparents, uncles, aunts resulted to have a lower connection with the sick parent. The presence of another person who offers security and care for the sick parent creates a distant relation with the children who is not interesting in making any afford to help the family.

These children relate more the caring person than the parents because they assure security, protection and chances to avoid the problematic situation. Being unable to understand the problem the children feel no empathy for the sick parent because they are not seeing them suffer and difficulties the parents are going through. The sick parent is not any more around to take care of the children and the caring person is taking advantage of these duties without being aware that are destroying a relation which is being very weak lately. The children starts to believe that is not loved anymore and take some distances till asking for leaving the house. Even when the children had a strong relation before the diagnosis the caring person the children are scared of losing the sick parent and don't want to be part of this loss. No matter how important can be the caring person he/she can never replace the parents that is why after the interview all the children expressed "I wished I was sick". The children felt a physical distance and not an emotional one. The children were still attached with the parents despite the physical distance they asked to have.

5. A very interesting result came after the parents read the answers of the interview with the children. They felt surprised from the answers and some parents understood that in fact were neglecting the children. Most of them refused to believe in their children's answers. They explained that use to explain every day about the school, their desires, never ask the children to do the house works just to be good at school. The answers of the parents were opposite with the children's who in very brief terms explained how parents were neglecting them. These two options make it very difficult to evaluate the truth but it was a royal way to come to an end. Both parents and children had different perception of the situation. Children felt neglected because the parents were too much focused of the treatment and also the parents were too tired to understand weather their relation was changed or not. The children's perception is right till a certain point because the children are distanced with the parents and also replacing their role at home which means they feel alone and abandoned. These children feel abandoned and the fear of being alone makes them stronger. The parents had very little communication with the children and kept secrets about the illness which made the children under evaluate themselves who are looking for a guilty and very often they blame oneself for not giving enough afford to change the situation. The parents are not home most of the day and do not communicate to help the children understand what are the conditions of the illness, what to expect and what is the prognosis.

6. When parents try to cooperate with the children even after the diagnosis the children feel more comfortable to deal with the illness. The cases of a strong relation before and after the diagnosis prove to be more stable and resistant to the changes. The relation before the diagnosis is important to show the way the children face the stress the illness creates. The healthy relation with the children is the trust the children use to understand that no matter the distance they are sure the parents are caring for them. In the cases the children had a strong relation with the sick parent the relation remained strong even after but were still feeling betrayed from the secrets of the illness. The children knew about the illness because they spied, searched on internet, read books but nothing was sure or heard directly from the parents. The result is having two parts knowing about the situation but no one had the courage to talk to each other. The lack of trust brings

the feelings of inferiority and with the passing of time it aggravates the conditions at home till suffering the inferiority complex.

7. During the first phase of the study, taking personal data, the parents did a lot of resistance in filling the whole story. They try to give very diplomatic answers to give the best impression by hiding some information about the real situation at home. When the interview was in the presence of both parents they kept a continuing eye contact with each other to better coordinate with the information. The information about the life before the diagnosis they felt uncomfortable and avoided the truth. It was very difficult to take information so most of the data was gathered due to the observation. When was the presence of the grandmother they talked with a lot of pathos about the children and sometimes in the middle of the conversation they burst into tears telling how difficult it was for them coping with a sick parent.

8. In three families the parents were preoccupied because they knew the children heard about the illness but none of the families felt ready to communicate with the children. The parents did not know how to communicate, what to tell to the children and what was the limit of the information to reveal. Inspired from this condition there was a psycho education phase with the parents helping them understand how important was for the children telling the truth, finding the exact words to explain the illness. They feared that the information will hurt the children and they believed that was better if they delegated the responsibility. After the psycho educational meeting the parents did never take the courage to talk with the children about the illness. In the families where it was a caring person like the aunt or the grandmother the parents delegated the duty to them and got rid of the responsibility which resulted to aggravate the anger toward the parent.

## Conclusions

The results of this paper lead to the conclusion that children who have a parent diagnosed with cancer suffer from a low self esteem accompanied by poor social relations. The conditions of these feelings are found in the family when parents neglected the children and kept distance from the changes in the family. The children fight to take the attention of the parents but doesn't react in a rude way or create tension in the house. In fact the children compensate by behaving perfectionist tasks (growing up manners) in order to take the attention.

When they do not have feedback for the efforts they try harder but don't understand that the lack of attention comes from the worries the parents have about the illness and not for their bad behaviors. Growing up in these conditions despite the hard affords not evaluated the child blame himself for not giving enough from oneself to deserve the parents' attention. The children build the inferiority complex and their age permits them only to behave well in order to gain positive reaction. They try hard to be as good as is needed to have back the harmony but what remain is the fears of losing both parents.

Parents that are biologically programmed to love their children are neglecting them and the children do not have enough information to cope with the situation at home. They channelize the low self esteem in other areas like school where they feel not comfortable. There are a lot of children having fun, playing with each other and making wishes and there are these children who come from a very stressful situation at home. Unable to cope with the conditions at home they find a solution that is avoidance. These children find easier to stay closed in the room and watch television.

## Recommendations

- Parents diagnosed with cancer need to have counseling sections to help them overpass the phases of the illness
- Families with a person diagnosed with cancer need to go to a family therapy to communicate about the illness conditions and the way it has changes their lives.
- A psycho educational program to help parents with cancer understand how important is to communicate with the children about the illness.
- A psycho educational program to help the families who have a member diagnosed with cancer to cope with the illness and to fight for the harmony.
- A psycho educational program to help the doctors to find a smooth way to talk with the patience about the illness and the most important thing to respect the right that every patience need to know what is happening to his/her body.

## References

- Adler, A. (1969), "Individual Psychology", Totowa, NJ. Littlefield and Adams  
 Adler, A. (1964), "Social Interest", New York, Capricorn Book  
 Adler, A. (1973), "Superiority and Social Interest", New York, Viking Compass Book

- Ansbacher H. L. , Ansbacher R. R. , (1964). "The individual psychology of Alfred Adler: a systematic presentation in selections from his writings", Harper & Row
- Aymanns, P., Filipp, S., & Klauer, T. (1995).  
 "Family Support and Coping With Cancer: Some Determinants and Adaptive Correlates". *British Journal of Social Psychology*, 34, 107-124.
- Chiland, Colette (2003). " L'entretien clinique". Press Universitaires de France. France.
- Compas, B., Worsham, N., Ey, S., & Howell, D. (1996). "When Mom or Dad Has Cancer: II. Coping, Cognitive Appraisals, and Psychological Distress in Children of Cancer Patients". *Health Psychology*, 15, 167-175.
- Faulkner, R. & Davey, M. (2002). "Children and Adolescents of Cancer Patients: The Impact of Cancer on the Family". *The American Journal of Family Therapy*, 30, 63-72. Fobair, P. & Zabora, J
- Jones, Ernest (1977). "The International journal of psycho-analysis", Institute of Psycho-Analysis
- Mruk, Christopher (1995). "Self-Esteem: Research, Theory, and Practice". New York: Springer Publishing Company.
- Nelson E, Sloper P, Charlton A, While D (1994). "Children who have a parent with cancer. A pilot study". *J Cancer Educ.* ;9:30-36
- Laing, R.D (1988). "Self and Others". Pelican Books.
- Rolland J. (1987) "Chronic illness and the life cycle: a conceptual framework". *Family Process* 26, 203-221.
- Stern, T. and Sekeres, M.(1990). "Facing Cancer: a complete guide for people with cancer, their families and caregivers"
- Shehu, Artemisi(2007). "Psikologjia anormale". Donograph. Tiranë.
- Toni L. Rocha (2001). "Coping When Someone in Your Family Has Cancer", 29 East, New York, NY 10010
- Veach, T. & Nicholas, D. (1998). "Understanding Families of Adults with Cancer: Combining the Clinical Course of Cancer and Stages of Family Development". *Journal of Counseling and Development*, 76, 144-156
- Viktor Frankl (1997), "The Unheard cry for meaning", Pocket Books
- L'institute national du cancer. "Vivre pendant et apres un cancer".. Paris 2007
- Weihls, K. & Reiss, D. (1996). "Family Recognition in Response to Cancer: A Developmental Perspective". In L. Baider, C. L. Cooper, and A. Kaplan De-Nour (Eds.), *Cancer and the Family* (pp.3-29). New York: Wiley & Sons
- William C. Crain (2005). "Theories of development: concepts and applications", Pearson/Prentice Hall.
- Woolley H, Stein A, Forrest GC, Baum JD (1989).  
 "Imparting the diagnosis of life-threatening illness in children". *BMJ.*;298:1623-1626

## Motivation for Effectiveness of an Art Education Program

Dr. Fjoralba Satka

"Aleksander Moisiu" University, Durrës, Albania

Email: fjoralba\_s@yahoo.com

---

**Abstract:** The article is based on my investigation in three directions revealing the main reasons for a contemporary art education program: the state of Albanian art education program in school, my research through an initial art project for children and teenagers with disabilities, and my program of art education for students in Pedagogy at the Faculty of Education, "Aleksandër Moisiu" University, Durrës, Albania. By focusing on the informative value of art and its role for psychological, mental and cognitive development of personality, the analyses have the purpose to prove that Albanian art education is a case for change. Albanian school has need of appropriately educated and trained teachers. The effective theoretical and practical assistance of eligible art educators can play a key role in educating children and teenagers in competencies and skills in arts by which they can form their voice to express their particular experiences in variety of human conditions. This logically results in the university education program in arts for students in pedagogy as future school teachers. The conclusions convincingly emphasize the chances for success in quality of contemporary arts education. Improving its effectiveness through a more flexible between the theory and practice pedagogy should be the base for an education project with long-term investment.

**Key words:** Education effectiveness, Albanian art education program, school educators in art, children and teenagers with disabilities, high school students, students in pedagogy.

---

The main motifs to write the article source from the results of three studies made on education of art in three interdependent educational spaces: 1) in 34 different Albanian schools in elementary and secondary grade, 2) in the Special School for disabled children in Durres and 3) and in Aleksander Moisiu University, Durres (UAMD), with students of the Faculty of Education. The cog, which connects the three studies, is the prospective students who, at the University, they study as pedagogy so art. Art Academy students compared to university graduates take a degree as artists, but do not have the status of teachers. They couldn't be able to teach. This is the key, which makes the art program at UAMD specific in content, connected functionally with pedagogical and psychological disciplines and extremely responsible for preparing future teachers with the right quality.

Holding on the three above mentioned studies, I prop up the thesis suggesting the necessity for a *valuable theoretic and practical content and the favour of the duration program at the university, to make possible to integrating knowledge and simultaneously differentiate pedagogical approaches, topics, tasks and goals in the teaching of pupils in schools on the one hand, and children and teenagers with special educational needs, on the other.*

The orientation on academic program is not involved as a mandatory lesson but is taught as an elective subject only for one semester, for 3 hours per week or total of 45 hours in a term. This study testifies that such amount of hours is extremely inadequate for the educational necessities of students and openly belittles its significance.

This study is based on important researches and results from Europe and USA in terms of increasing the quality of art education in two directions: teachers and pupils. In the first place we will mention the general program of the British John Swift & John Steers *A manifesto for art in schools*<sup>1</sup>. In it, authors offer three principles from which are to be led teaching art and evaluation and the results are: *difference, plurality, and independent thought*. Viewing of a number of general studies for Art Education and its status in England, we have the results and meditation's researcher Jeff Adams in his editorial *The Degradation of the Arts in Education*<sup>2</sup>. Special attention deserves to have Prof. Jana Rasheva-Merxhanova of the University of Sofia 'St. Kliment Ohridski' *Optimization of transformation in education through*

---

<sup>1</sup> John Swift, John Steers, 'A manifesto for Art in Schools'. In: *Journal of Art & Design Education*, Volume 18, Issue 1, 13 Feb 1999, pp. 7-13.

<sup>2</sup> Jeff ADAMS, 'The Degradation of the Arts in Education'. In: *International Journal of Art & Design Education*, Volume 30, Issue 2, Jun 2011, pp. 156-160.

the spiritual level<sup>3</sup>, in which emphasis is placed on personal spiritual transformation as the goal of education. The study presented by Kaori Iwa in a very important forum of UNESCO<sup>4</sup> focuses on the great contribution of the arts in the lives of children. Researchers as A.L.Cole and J.G.Knowles pay special attention to teachers and their professionalism as trainers<sup>5</sup>. Other authors take in consideration various factors: the importance of the external world to the internal construction of reality as the main task of the painter<sup>6</sup>, usage of the fantasy and the dreams in the creative process<sup>7</sup>, the role of consciousness and subconscious mind in creativity<sup>8</sup>, the reaching of children toward modern painting for beside to adults<sup>9</sup> etc.

A special range of issues reveals the education of children with special educational needs. Magazines *Visual Arts, Guidelines for teachers of students with Mild (medium, heavy) General Learning Disabilities* of NCCA provides enhanced treatments and accurate approaches and methods, classroom management and school of art education<sup>10</sup>. Pursued in therapeutic's depth aspects of art education<sup>11</sup>, style's symbolism due to the art as therapy<sup>12</sup>, - the triple bond between Art-Therapy - spirituality - disease, which underlines the importance of Art-therapy as a diagnosis on the one hand, and as an extension for development of spirituality on the other<sup>13</sup>.

Numerous authors concentrate on various details such as: success and effectiveness as a result of disable children's education by professional artists<sup>14</sup>, on the teacher, who serves as an incentive for the child in his research on the expression and self exploration<sup>15</sup>, the effective role of art to identify differences in identity and recognition of values and integrating<sup>16</sup>, the importance of satisfaction in the margins of official teaching program control<sup>17</sup> and many others. A large number of authors as P. Fuller and J. Henderson do research over the relationship toward psychoanalysis and identify various pathological conditions and creative expression. D. Kuspit talks about the role of schizophrenia in the development of abstract art<sup>18</sup> etc.

Based on our analysis is the idea that *education is a dynamic process and its optimization is continuous updating and coordination between its constituent parts: the object of study, methodology, teacher and student*. Regarding social aspects, their problems are in dialogue with *difference, tolerance, partnership, care*, and in professional aspect with

<sup>3</sup> Яна Рашева-Мерджанова, „Оптимизация на образованието чрез трансформации на духовно равнище“ (с. 19-29). – В: сб. Юбилейна национална конференция с международно участие „Хуманизъм и прагматизъм в образованието на 21 век, Булвест 2000, 2010, 320 с.// Yana Rasheva-Merdzhanova. 'Education Optimization Through Transformations on Spiritual Level'. In: *Humanism and Pragmatism in Education of 21 Century*, Sofia: Bulvest 2000, 2010, 19-29.

<sup>4</sup> Kaori Iwa. 'The Contribution of Arts Education to Children's Live'. Paper presented at the UNESCO Regional Meeting on Arts Education in the European Countries, Canada and the United States of America, Finland, 2003.

[http://portal.unesco.org/culture/en/files/40522/12669211823contribution\\_AE.pdf/contribution%2BAE.pdf](http://portal.unesco.org/culture/en/files/40522/12669211823contribution_AE.pdf/contribution%2BAE.pdf)

<sup>5</sup> A. L. Cole, J. G. Knowles. *Researching teaching: Exploring teacher development through reflexive inquiry*. Needham Heights, MA: Allyn & Bacon, 2000.

<sup>6</sup> Segal. 'Art and the Inner World'. Times Literary Supplement, (July 18, 1975).

<sup>7</sup> Hannah Segal. *Dream, Phantasy and Art*. London: Routledge, 1991.

<sup>8</sup> Anton Ehrenzweig. *The Hidden Order of Art. A Study in the Psychology of Artistic Imagination*. Paperback Edition. London: Weidenfeld & Nicholson, 1993.

<sup>9</sup> Elias Katz. *Children's Preference for Traditional and Modern Painting*. New York: Teachers College, Columbia University, 1944.

<sup>10</sup> *Visual Arts, Guidelines for Teachers of Students with Mild (Moderate or Severe) General Learning Disabilities*. [http://www.VisualArts.org/GuidelinesforTeachersofStudentswithMild\(ModerateorSevere\)GeneralLearningDisabilities](http://www.VisualArts.org/GuidelinesforTeachersofStudentswithMild(ModerateorSevere)GeneralLearningDisabilities).

<sup>11</sup> Viktor Lowenfeld. 'Therapeutic Aspects of Art Education'. In: *American Journal of Art Therapy*, v. 25, 4, May 1987, p. 112-146.

<sup>12</sup> Rita Simion. *The symbolism of style: Art as Therapy*. London: Routledge, 1992.

<sup>13</sup> Петър Цанев. *Психологията на изкуството*. София: Национална Художествена Академия, 2008// Peter Tsanev. *Psychology of Arts*. Sofia: National Academy of Arts, 2008

<sup>14</sup> Andy Mortimer. 'Opportunity Not Sympathy'. In: *Journal of Art & Design Education*, Volume 13, Issue 3, October 1994, 221-233; Fjoralba Satka. 'Painting in aid of health teaching children and teenagers with disabilities'. In: *Development problems of Childhood and adolescence in transitional societies*, The II<sup>nd</sup> International Scientific Conference, Conference Proceedings, 2-3 December 2011, Durres, Albania, pp. 386-392.

<sup>15</sup> Ambera Duka. *Probleme të punës mësimore me fëmijët me nevoja të veçanta*. Durrës: Mediaprint, 2010 // *Problems of Educative Work with Children with Disabilities*. Durrës, Media Print, 2010.

<sup>16</sup> Margaret Taylor. 'Access and Support in the Development of a Visual Language: arts education and disabled students'. In: *International Journal of Art & Design Education*, Volume 24, Issue 3, October 2005, 325-333.

<sup>17</sup> Steve Herne, Celia Burgess-Macey and Maggie Rogers. 'Carnival in the Curriculum'. In: *International Journal of Art & Design Education*, Vol. 27, Issue 3, 2008, 264-278.

<sup>18</sup> Donald Kuspit. 'A Critical History of 20th-Century Art'. In: *Artnet Magazine*, 2006.

reform, optimization, efficiency, spiritual improvement concepts. They work actively in the cultural European area where the Albanian education system must coordinate its development in accordance with them, keeping properly considered their significance.

The first significant territory to discuss is the Albanian school - like the traditional and school for children with special educational needs. Therefore by the two study projects we can see and study the need to reform the educational programs in visual art under *effectiveness* indicators. On the other hand, they reflect the university teacher preparation. The second important territory to be discussed is the Ministry of Education and Science (MES). The study is in line with the official position stated by the Ministry for democratic change in the development of Albanian education, in accordance with the standards of the Bologna process<sup>19</sup>.

Learning in and through visual art, needs to be designed by programs and school learning to program in accordance with the university programme with the aim to train the teachers. Weaknesses of the programs can be adjusted periodically and their contents parallel with methods to be actualized. Regarding traditional and unchanging powers of teachers - information, communicating, organizing, controlling and diagnostic, the new experiences ask for to add the expert-consultant, mediator-moderator, socio-intercultural, axiological-educational<sup>20</sup>. The pupil is the final goal and according to recognized modern knowledge of the XXI century is "the transformation of learners" through "transformation of feeling" that within the evaluation of artistic thinking and metaphor's image goes "beyond the synonymy of language". That way, it performs better for spiritual personality growth.

For the purpose of the study the first project includes 34 schools in 4 cities and 8 schools in rural areas<sup>21</sup>, 150 teachers surveyed in visual art - 120 from classes I to V and 30 from classes VI to VIII, and 450 high school pupils. The second project was conducted with 20 students with special educational needs aged from 10 to 15 years and their teachers.<sup>22</sup> Results and summary are presented at the II<sup>nd</sup> International Scientific Conference, Durres in 2011.<sup>23</sup> The third project studies space of university study in the survey of 127 of potential teachers, studying currently in "Aleksander Moisiu" University.

#### SURVEY TEACHERS - 150 persons surveyed

Included 8 questions answered freely. Percentages exceed 100 in total, because each respondent has provided many more than one response

##### 1. What are your opinions through art education goals?

Note: Responses are summarized by the parameters formation of personality, knowledge, skill, expression, aesthetic education.

- general formation of personality	76	51%
-knowledges	68	45%
- aesthetic education	60	40%
- development of certain skills	57	38%
-expression	38	25%

<sup>19</sup> Arritjet kryesore në fushën e arsimit dhe shkencës gjatë vitit 2011 // Main Achievements in the Sphere of Education and Science in 2011. <http://www.mash.gov.al/fjalim.php?id1=13&id=30>

<sup>20</sup> Yana Rasheva-Merdzhanova. 'Education Optimization Through Transformations on Spiritual Level'. In: *Humanism and Pragmatism in Education of 21 Century*, Sofia: Bulvest 2000, 2010, pp. 25

<sup>21</sup> Tiranë - 8, Durrës - 9, Elbasan - 6, Diber - 3, the rural areas of Shijak, Sukth, Vorë, Mollas of Kolonjë etc.

<sup>22</sup> "The Special school" in Durres, Albania.

<sup>23</sup> Fjoralba Satka. 'Painting in aid of health teaching children and teenagers with disabilities'. In: *Development problems of Childhood and adolescence in transitional societies*, The II<sup>nd</sup> International Scientific Conference, Conference Proceedings, 2-3 December 2011, pp. 386-392, Durres, Albania.

2. What would you ask more from the art school programs or curricula?

Note: 1 respondent did not respond

- the most appropriate programs	101	68%
- programs critical topics	41	28%
- increase the number of hours	43	29%
- more trips, outdoor work, competitions, exhibitions, galleries, meetings with painters	8	5%
- book of methods for teachers, book and notebook for students	42	28%
- the teacher to be a painter	3	2%
- base material	31	21%
- satisfied with the programs	8	5%

3. Who and how should care for the actualization of your education in visual art?

Note: 10 respondents did not answer

		7%
- institutes	46	33%
- painters, specialist	67	48%
- courses, seminars, internships	71	51%
- additional literature and self preparation	24	17%
- the teacher to be a painter	7	5%
- no need for qualifications	2	1-2%

4. How do you rationalize and motivate the visual art education which you offer to the pupils?

Note: 31 respondents did not answer

		21%
- with illustrative material	54	45%
- through integration with other disciplines and life	36	30%
- through competition (ratings, competitions etc.)	50	42%
- through discussion, analysis, descriptions, explanations	22	18%
- through visual ideas, imagination	14	12%
- work only with different talents and techniques	3	2-3%
- psychological therapy, games, entertainment	5	4%

5. What kinds of choices do you offer to the pupils and are these choices informative ones?

Note: 31 respondents did not answer

		21%
- choice of themes, images, artwork, color, background, materials, techniques, workmanship, working instruments through information	119	100%

- no free choice, they are programmed	18	15%
- offered as a choice of different solutions available	14	12%
- the choices are not always informative	4	3-4%

6. Do schools kill creativity? If “yes”, how and in which way does it act?

<u>Note:</u> 7 respondents did not answer		5%
- do not kill creativity!	97	68%
- conditional response – “no, but” “no, if”	14	10%
- kills creativity!	42	29%

7. Do you use the subjectivity to develop students' creativity?

<u>Note:</u> 24 respondents did not answer		16%
- yes	99	79%
- “rarely”, “partially”, “certain issues”	16	13%
- no	9	7%

8. What stress in art education and what you want to learn: creativity and / or implementation?

<u>Note:</u> 13 respondents did not answer		9%
- creativity and implementation	97	71%
- creativity	31	23%
- implementation	11	8%

**Summary of results** Over half of the respondents fully understand *main purpose art for the formation of full personality* listing of the various development aspects of it - intellectual, mental, imagination, creative talent, skills, interpretation and evaluation, identification of positive and negative aspects of society, communicative vocabulary with artistic concepts. It demonstrates *knowledge, education aesthetic* the development of practical *skills* and the capability to non-verbal *expression*. Also the moity criticize various drawbacks in the program. They desired *increase in hours* from 1 in 2-3 hours/week, while 1/3 require detailed *methodologies* for teachers, *textbooks* and *notebooks* for students *work*.

To *update* their knowledge and skills in visual art, more than 80% cite as responsible - Ministry of Education and Science, School District (SD), National Inspectorate of Education (NIE), etc... More than half want organizing *courses, seminars* and *practice*, where the lecturer may be a painter, specialist, professor. Unfortunately, a large number have lost their trust and rely on *self-training*, (quote) “because the state (that is to say MES) offers nothing besides planning”. More disappointing is the demonstration of confidence by some teachers who do not need training, because completion of the Pedagogical Institute and the School of Art are fully sufficient education and “actual”.

It set a record for silence regarding for the methodical work of art at which noted that 1 in every 5 teachers do not know how to rationalize and motivate his classes. Troubling indicator is what stresses *self-motivation* of students as fully sufficient. Nearly half motivate with different *kind of illustrate materials*, lesser use grade *competition*, competitions and exhibitions. Fortunately, about 1/3 *integrate* art with other subjects and the environment and the methodical approaches are the *conversations, discussions, analyzes, descriptions and explanations*.

The issue of *choice* and if it is *informative choice* preserves the previous record with 31 other subjects silent. This shows that is not justified nexus between information and free choice. But “Excellent teacher”, are more than half. To



achieve an *informed choice*, they draw *information* from different sources. However, 15% claim no free choice because they are *programmed*.

The problem of *creativity* is involved in 3 questions. Two-thirds say that the school did not kill creativity, while under a third thought the opposite. Many respondents were so categorical in using *subjectivity of the students to develop creativity*. The professional understandings support the arguments that “the creativity is in the center”, “the focus is the student”. Unfortunately, there are a lot of them, who underestimate or reject the subjectivity of students. Indicator problem is that even here 24 people were in despair.

In terms of priority between creativity and / or implementation about three-quarters of them feel as equal, while one quarter only requires *creativity*, which expresses the current mentality. The alarming effect is that few teachers focus only to *the implementation aspect*.

## SURVEY FOR COLLEGE STUDENTS

Through **450** college students questioned from X, XI class to XII class is studied the teaching area of high school, where is learned the general discipline of Art History. The survey includes three questions with multiple answers.

Note: Percentages are rounded to integer approximate.

### 1. Do you want to learn visual art in high school?

Note: 3 respondents did not answer

a. yes	185	41-42%
b. more are positive	39	9%
c. average	55	12%
d. a little	68	15%
e. not	92	21%
f. I do not know	8	2%

### 2. Would art help the growth and formation of your personality?

Note: 1 respondent does not respond

a. yes	194	43%
b. more are positive	40	9%
c. average	86	19%
d. a little	44	10%
e. not nnn	50	11%
f. I do not know	35	8%

### 3. How do you define the role of art in your life?

a. it plays an important role	68	15%
b. most affects to some extent	214	48%
c. it sometimes attract my attention	49	11%
d. it plays no role	51	11%
e. I don't have any idea	68	15%

**Summary results.** High school pupils are well oriented in their preferences. More than half *want to learn* and believe that *visual art aids in enhancing the personality development*. Those who don't want are just over a fifth, who slashed in half in terms of formative influence of art, but remain alert for indications of insufficiency: insufficient marketing information.

The total percentage, considering *the positive role of art to be* significantly increases. One-tenth is those who seek visual art "occasionally" or deny its role. Serious negative indicator is the number of students "without thinking" insufficiently.

From the project "Children and adolescents with special educational needs" and surveys with their teachers was issued the main conclusion that art-therapy is a healthy element for the education of these children and should be presented more extensively in their program regular for the following reasons:

1. brings spiritual revival, activates perceptions, develops cognitive skills in order for aesthetic and play, enthusiasts and engages positive emotional and physical behavior;
2. is preferable from a lot of pupils, something which guarantees its success;
3. should be addressed by painters prepared in pedagogy;
4. the artistic products contribute in the social integration of children and have cognitive function of different social groups - family, school, teachers, scientific researchers, society.

#### SURVEY FOR STUDENTS - 127 persons surveyed

Via this project is closed the professional-academic space between pupils-student-teacher. Students are considered as the intermediate contingent, in which are faced the educational, scholar and university problems. The 7 questions involved are from survey of teachers but student-oriented situation, where free response is required. Overall rates exceed 100 because respondents provided more than one answer.

##### 1. What about your opinion, are the goals of art education at the university?

- diverse knowledges	110	87%
- preparation as a teacher by mastering the methodology	58	46%
- to gain practical skills	40	32%
- the importance of art in life	10	8%
- just for relaxation	6	5%

##### 2. What would you like to benefit from the program of art in the university curriculum?

<u>Note:</u> 11 respondents did not answer		8-9%
- more hours over 2 semesters education and development of practical skills	90	77%
- more detailed knowledges	52	45%
- exhibitions of student work, visit the gallery	17	15%
- no requests for the program	15	13%
- just for fun	4	3%

##### 3. Who and how should take care of your education in the process of updating of visual art after you have finished university, when you start work as a teacher?

<u>Note:</u> 17 respondents did not answer		13%
--	--	-----

- rely on their individual	54	49%
- relevant institutions	30	27%
- seminars and trainings in specialized programs and literature	25	23%
- visual art to be taught in class IX	2	2%
- want to continue their education at university	24	22%

4. How will it help you in your work as a teacher, your knowledge in visual art?

<u>Note:</u> 16 respondents did not answer		13%
- in the educational goals and method	42	38%
- acquired knowledge and practical skills	39	35%
- criteria for evaluation received effective and competent explanation	15	13 to 14%
- the aid is limited due to insufficient time, must be multiplied the hours	6	5% -6%

5. What place occupies the choice in the work of visual art? What does "informed choice" means?

<u>Note:</u> 40 respondents did not answer		31%
- the choice is important	23	26%
- is connected with the object, materials, time, position, freedom for talent	24	28%
- "informed choice" is appropriate, based on clear ideas as a result of information for materials, means of expression, work on details of the task	44	51%

6. What place does creativity take at school? How will you develop it to students?

- creativity is important, effective and should be encouraged	57	45%
- the school is not heeded	9	7%
- encouragement through illustrative materials, assessments, competitions, exhibitions, support, entertainment	22	17%
- through artistic treatment of topics and themes free	18	14%
- by encouraging thought and imagination	16	13%
- through the development of practical skills	16	13%

7. What would you highlight in art education to students and ask what will learn: creativity and / or implementation?

<u>Note:</u> 11 respondents did not answer		9%
- Creativity and implementation	59	51%
- Creativity	43	37%
- Implementation	14	12%

**Summary of results** About half define *the scope of their education* as a teacher preparation methodology, and a third focusing on the *practice*. Many respondents, over half want *the university program* to develop *their practical skills*, the rest directly fixed 2 terms, where in total it makes that more than three-fourth want *full year learning*.

To update *their education in fine arts after graduation*, over a quarter point at MES, SD and other institutions. About half of them want prospective qualifications, where a quarter highlights a concrete form - *workshops, practice and literature*. Other half relied on *self preparation* based on the academic program, wanting to the set of great responsibility and the need for continuous training.

Regarding the *knowledge role in teacher performance*, more than a third showed the *purpose educational and method* and another third stressed *skills practice*. A considerable number of them underline the accepted criteria for the effective *evaluation*, meanwhile the others underline the idea, they are helpless, because are needed a lot more information and knowledge, even a term more, because the time in disposition is insufficient.

Most difficult was for students regarding *choice* question and what it meant "*informed*" choice. Almost one third did not respond but half of them specify "*the informed choice*" based on clear ideas as a result of getting the prosperous information. For more than one fourth choices were simply important, without explaining why.

In relation to *creativity in schools* half answer in laconic way, which is important, effective and should be encouraged. On the other hand there are some critics over the importance it has, over the attention they pay to. The responses how are they going to *develop the creativity among students* are highly differentiated and diffused equally between informative and encouraging forms and practices. Some of them cleverly highlights showed that the students' creativity can go beyond the imagination of teachers and therefore the emphasis is placed on feeling free!

Regarding the relationship between *creativity and/ or impementation* over half of subjects recognize both but some note that precisely balances that makes the subject more interesting. Over a third believe *creativity* as more valuable, some say it is equal to the freedom and "*the result is a miracle*"! Others far fewer in number are focused on *implementation*, and one of the respondents underscores the criterion "*less copying*"!

## Conclusions

Summarizing the three projects, I sort out a serious motivation to achieve *efficiency* through educational reforms in the professional closed-circuit training of teachers, students and pupils. The main conclusions match the European important criteria for development, reform and assessment in education, which are: *integration, tolerance, democratic transformation* and *European program in support and training for teachers*.

It is essential to highlight some very important conclusions, which relate to the visual art curriculum planning, which reflects the University:

- *effective improvements* are needed in *existing school programmes* according to the weaknesses and the underlined requirements by teachers and students;
- there is clearly a great necessity to build a *permanent annual program to qualify teachers* in visual art after they get the degree from the Faculty of Education;
- it is necessity to satisfy the wishes of most of high school pupils, so that to carry on the practical activities in visual art, due to this goal *will not be interrupted the educational program in ninth grade of the secondary school and to involve practical activities in regular high school curricula orto be structured as optional extra hours*;
- criteria for *integration* and *tolerance* require that children with special educational needs to be involved in *long-lasting projects for Art-therapy led by specialists painters trained as lecturers*;
- *democratic change*, the definition of *effectiveness* in the heart of educational requirements, the demand expressed by teachers for professional preparation, as well as the desires of students, future potential teachers, dictate that *the course at university training to increase by 45 hours in a semester at 90 hours for 2 semesters*. This will enable the enlargement of themes and a thematic program detailed in various degrees taught in school, where theoretical and practical activities are balanced.

With these results we present only the most urgent changes that are happening in the moment of speaking, which only after a few years will be obliged by the European Union requirements. From the conluded research we can find out a lot of conclusions regarding differentiated Albanian education in visual education, which will help not only school teachers but also school psychologists, sociologists, parents' community and society as a whole.

## References

- Fuller, Peter. *Art and Psychoanalysis*. London: Writers and Readers Publishing Cooperative Ltd., 1980.
- Ball, M.S. & Smith, G.W.H. *Analyzing Visual Data*. Newbery Park, CA: Sage, 1992.
- Barone, T.E. & Eisner, E.W. Arts-based educational research. In R. M. Jaeger (Ed.). *Complementary methods for research in education* (2nd ed.) (pp. 73-116). Washington, DC: American Educational Research Association, 1997.
- Cole, A. L., & Knowles, J. G. *Researching teaching: Exploring teacher development through reflexive inquiry*. Needham Heights, MA: Allyn & Bacon, 2000.
- Cole, A.L. & McIntyre, M. 'Research as Aesthetic Contemplation: The Role of the Audience in Research Interpretation'. In: *Educational Journal of Artistic and Creative Education*, University of Melbourne, Volume 1, Issue 2, 2004.
- Eisner, E.W. 'The emergence of new paradigms for educational research', In: *Art Education*, 46(6), 1993, p. 51-55.
- Satka, Fjoralba. 'Painting in aid of health teaching children and teenagers with disabilities'. In: *Development problems of Childhood and adolescence in transitional societies*, The II<sup>nd</sup> International Scientific Conference, Conference Proceedings, 2-3 December 2011, Durres, Albania, pp. 386-392.
- Kirchler, L. Architecture and landscapes of segregation: An historical look at the Built Environment of educational facilities in the United States educational system. *Berkely Planning Journal*, 18, 2005, 79-99.
- Kuspit, Donald. 'A Critical History of 20th-Century Art'. In: *Artnet Magazine*, 2006.
- O Donoghue, D. (2007) *Place-making in boys' schools: Researching with and through art practice*, 97, *Insights*, 9(1).  
<http://www.ccfi.educ.ubc.ca/publication/insights/v09n01/articles/cole.html>
- Springgay, S., Irwin, R.L., & Kind-Wilson, S. (2005). *A/r/tography as living inquiry through art and text*. *Qualitative Inquiry*, 11(6) 897-912.
- Thistlewood, David. 'Process-dominance: Developmental Drawing in Adolescent Creativity'. (A paper read to the Convention of the National Art Education Association of America, New York, April 1982). In: *Journal of Art & Design Education*, Vol 1, No 2, 1982, 251-268.
- Visual Arts, Guidelines for Teachers of Students with Mild (Moderate, Severe) General Learning Disabilities*, NCCA. <http://www.VisualArts.org>

## The Alternative Renewable Energy and their Developing Perspectives in Albania

**Stela Sefa**

Environment Engineer

"Aleksandër Moisiu" University, Professional Studies Faculty, Durrës, Albania

E-mail: [stelasefa@gmail.com](mailto:stelasefa@gmail.com)

**Anjeza Gjini**

Civil Engineer

"Aleksandër Moisiu" University, Professional Studies Faculty, Durrës, Albania

E-mail: [anjezaqjini@hotmail.com](mailto:anjezaqjini@hotmail.com)

**Abstract** The present study analyzes the necessity of alternative energy sources for Albania, as a developing country, and their impact on the economy. If Albanian economy will directly depending on the use of hydro energy, it simply will not have enough energy capacity for its population. Renewable energy sources have the potential to make a large contribution to Albania's sustainable and independent energy future. Renewable energy production requires large investments, which increases the production cost of energy. Nevertheless "high cost" investment should not impede the development of Albania in this sector since the benefit is much greater than the "cost". Any kind of investment in renewable energy such as a solar energy, wind energy, biomass, geothermal energy etc is profitable. Many other countries of Europe have started years ago investment in renewable. Albania's geographical position favors investment in this field. Prospects in this sector require setting feed-in tariffs in the new RE law to create facilities not only in investment but also to subsidize the excess energy obtained.

**Keywords:** renewable energy, renewable resources, feed-in tariffs

### 1. Studio generale

L'energia è la fonte di tutte le attività economiche di qualsiasi società, piccola o grande essa sia. Anche per l'Albania, in quanto paese in via di sviluppo, la produzione di energia prende primaria importanza. La crisi mondiale ha portato molti paesi sviluppati a vivere la fine del regime dell'era dei combustibili fossili, a causa del significativo aumento dei loro prezzi ed a pensare all'utilizzo delle fonti energetiche rinnovabili (Gjoka, 2007).

L'Albania viene classificata come un paese ricco di sorgenti d'acqua, che sono sparse su tutto il territorio. Questo ha portato il sistema elettroenergetico albanese a sostenersi per il 99% sull'utilizzo dell'energia idroelettrica. Il maggior beneficio dal energia idroelettrica in Albania passa attraverso piccole centrali idroelettriche (HEC). Prima dell'anno 1988 erano già state costruite 83 con una potenza da 50 fino a 1200 kW. La potenza installata è di 14 MW, però possono aumentare la loro capacità fino a 25 MW, se fatto un migliore utilizzo del deflusso delle acque. La loro età media è di 25 anni. Tre dei HEC si trovano presso la cascata del fiume Drin e forniscono il 86% della produzione totale di energia (Mitrushi, 2006).

La distribuzione di HEC a seconda delle zone		
Le divisioni di HEC a seconda delle zone	Potenza installata (kW)	La capacità di produzione annuale (000/kWh)
Zona 1 (Bulqizë, Dibër)	3374.5	15370
Zona 2 (Elbasan, Gramsh, Librazhd)	2040	11490
Zona 3 (Kolonjë, Korçë, Pogradec, Devoll)	2893	17140
Zona 4 (M.Madhe, Tropojë)	1120	8190
Zona 5 (Gjirokastrë, Përmet, Sarandë, Tepelenë)	1366	4760
Zona 6 (Mat, Mirditë, Laç, Shkodër)	1320	1030
Zona 7 (Skrapar)	420	1200

Zona 8 (Vlorë)	144.7	420
Zona 9 (Has, Pukë, Kukës)	599	2420
<b>Totale</b>	<b>13 277</b>	<b>62020</b>

**Tabella 1** La distribuzione dei HEC a seconda della zona  
[Fonte Gjoka, 2007]

Però solo una piccola parte degli HEC funzionano. Il resto si trova fuori servizio per vari motivi (esistono solo per le statistiche). La maggior parte sono in pessime condizioni a causa delle distruzioni subite durante i disordini del 1997 avvenute in Albania, dove gran parte delle attrezzature è stata saccheggiate e gravemente danneggiata. Però la distruzione è avvenuta anche a causa della negligenza e le cattive politiche perseguite fino ad oggi per la loro manutenzione. Anche durante l'estate l'acqua viene utilizzata per l'irrigazione e la fornitura dei residenti con acqua potabile, ed è per questo che questi centrali rimangono molto tempo senza produrre energia dalla scarsità d'acqua. (Xhelepi, 2006).

L'evoluzione economica dopo il 1990 ha portato ad un aumento delle richieste per l'energia elettrica. Questo sistema basato solo sull'energia idroelettrica, anche se pulito, non soddisfa il bisogno d'energia a causa della limitata capacità per produrla in rapporto al crescente bisogno. Nove impianti che esistevano prima del 1990 sono tutti fuori uso. La generazione di energia elettrica complessiva in un'anno normale è di 4160 GWh, energia insufficiente a soddisfare le esigenze dei consumatori (6.5 TWh/anno durante l'anno 2006), quando le condizioni hydro sono favorevoli (Nashi, 2009). D'altra parte anche la capacità di produzione disponibile è insufficiente a soddisfare l'esigenza di potenza nei periodi di punta (durante il giorno o anno). Enormi perdite nella rete a seguito del consumo di elettricità, in particolare nel livello basso di tensione, ma anche molti problemi tecnici di trasmissione e di distribuzione hanno reso l'economia albanese negli ultimi 20 anni, direttamente dipendente da questo tipo di energia. Questa energia però non ha garantito la continuità e la capacità durante gli anni causando molto spesso crisi in Albania nel settore dell'energia. Di conseguenza, le aspettative dipendono spesso dalle importazioni.

<b>Settori</b>	<b>Industria</b>	<b>Trasporti</b>	<b>Famiglie</b>	<b>Servizi</b>
1990	50 %	6 %	14.6 %	5.4 %
2004	17 %	33 %	20 %	18 %

**Tabella 2** Il consumo di energia in base ai settori  
[Fonte NSE, 2004]

Dopo l'anno 2000 sono stati eseguiti studi da parte della Strategia Energetica Nazionale (SEN) per la costruzione di nuovi impianti energetici, termocentrali (TEC) per poter migliorare la situazione energetica del paese. Però questi studi non hanno previsto l'andamento dei prezzi mondiali degli combustibili fossili per lunghi periodi e la possibilità di sostegno da parte dell'economia albanese (Co-Plan, 2007).

Di conseguenza è stato costruito il centrale termoelettrica (TEC) di Valona con una potenza di 97 MW. Questo TEC anche se è stato finito già da un'anno non è stato ancora introdotto a causa del costo molto elevato ed insostenibile per il suo funzionamento. Olio o altri fossili combustibili stanno diventando sempre più difficili da trovare sul mercato per via del prezzo sempre più elevato. Anche la Strategia Energetica Nazionale (SEN) nelle misure previste per l'anno 2020 per migliorare la situazione energetica si basa sull'utilizzo del carbone come combustibile. Così tutti gli termocentrali che stiamo costruendo oggi potrebbero non utilizzarsi mai, finendo così sui libri di statistica come produttori immaginari di energia. Questo può fare che l'Albania cada rapidamente sotto l'effetto della crisi globale d'energia. Gli indicatori di questa crisi stanno diventando sempre più visibili all'orizzonte.

È evidente che la situazione energetica in Albania non è cambiata. Questo vuol dire che noi continuiamo a fare affidamento ai HEC soprannominati e una grande parte all'importazione d'energia dai paesi vicini. In questa situazione sono necessari investimenti sulla produzione, la trasmissione e la distribuzione dell'energia per garantire la sicurezza e la funzionalità continua dell'energia elettrica.

Per questa ragione, l'Ente Regolatore dell'Energia (ERE) ha previsto che fino al 2010 si devono installare 604 MW nella forma dei TEC. La costruzione dei TEC è prevista farsi da società private straniere a causa del costo elevato e l'impossibilità del governo albanese ad affrontarlo. Nella maggior parte dei casi ciò porterà che dopo la loro costruzione il governo sarà costretto a darli in concessione fino alla liquidazione degli investimenti e la maggior parte dell'energia prodotta sarà utilizzata da queste aziende per l'esportazione al di fuori del territorio dell'Albania. Questi investimenti mettono in discussione il rapporto tra la redditività economica (miglioramento della energia) e l'impatto negativo sull'ambiente.

Un caso simile è il progetto di ENEL Italia per la costruzione di un termocentrale in Porto Romano, Durazzo con una capacità di 1600 MW. 85% dell'energia elettrica che verrà prodotta verrà esportata in Italia tramite un cavo sottomarino, invece il 15% rimanente verrà usato dagli albanesi. Anche se questo progetto migliorerebbe la situazione energetica del paese, porterebbe anche delle conseguenze negative non solo per la città di Durazzo, come città turistica, però anche per tutta l'Albania. Questo investimento aumenterebbe le emissioni di CO<sub>2</sub> più di 2.5 volte su tutto il territorio, e porterebbe anche molte altre conseguenze negative per la città e i suoi monumenti culturali (Mitrushi 2006).

La mia opinione è che l'Albania non dovrebbe fare affidamento solo sulle costruzioni di vari TEC con costi che non può sostenere e concessioni simili con un alto impatto nell'ambiente e una bassa redditività per il paese però dovrebbe pensare anche in Fonti di Energia rinnovabili (FER), visto che abbiamo grandi possibilità nella produzione di tali energie. Questo fatto lo assicura anche la posizione geografica molto favorevole del nostro paese. Molti altri stati d'Europa anche se non possiedono condizioni simili hanno iniziato gli investimenti in FER già da tempo. Con le potenziali a suo favore l'Albania deve accelerare le misure sulle normative e sugli investimenti sul FER. La legislazione dovrebbe assicurare le necessarie facilitazioni per la loro stimolazione.

## **2. Le potenziali delle energie rinnovabili in Albania**

Visto che l'Albania è un piccolo paese non può considerarsi un paese industriale. La sua economia si basa sull'economia leggera e sul turismo. Per queste ragioni penso che gli investimenti sul mercato energetico non dovrebbero basarsi sulla costruzione dei Parchi Energetici o i TEC per via dell'inquinamento dell'ambiente e dei costi insostenibili, però si dovrebbero focalizzare nelle risorse rinnovabili. Per questa ragione sono stati effettuati studi per la valutazione territoriale e quantitativa delle fonti di energia rinnovabile definendo chiaramente la loro posizione e potenzialità che poi serviranno all'uso da parte di vari settori di economia (Co-Plan, 2007).

### *2.1 Energia idrica*

L'Albania ha una grande quantità del potenziale idrico dell'energia che può arrivare fino a 16 miliardi kWh, che però solo 30 – 35 % di essa può essere utilizzata. Vari studi mostrano che esiste la possibilità di costruire 41 nuovi HEC con una capacità di 140 MW e con un rendimento annuale di 680 GWh. 65 % di questi ultimi possono essere costruiti a nord e il restante 45 % a sud (Gjoka 2007). Le loro caratteristiche sono come la tabella 3.

Comunque la maggior parte dei fiumi d'Albania ha un regime disordinato, dove durante l'inverno lo scorrimento delle acque arriva al 70 % invece durante l'estate si abbassa al 30 %. Questo influisce all'uso obbligatorio di un diverso tipo d'energia durante questa stagione.

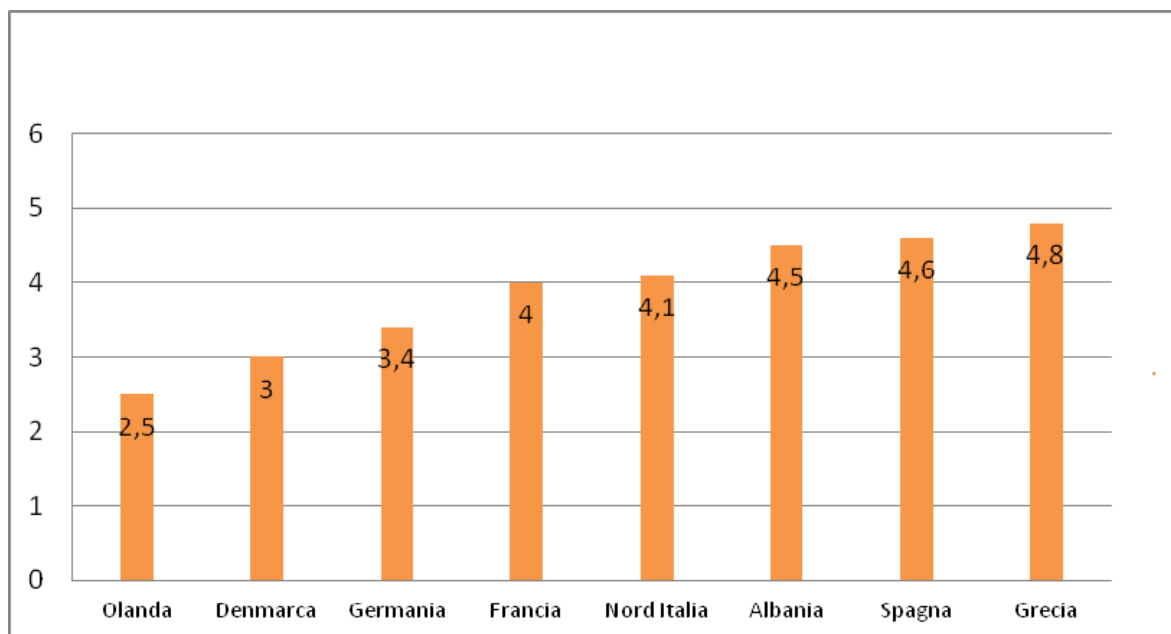


No. dei PCI	Le caratteristiche delle nuove Piccole Centrali Idroelettrici
4	hanno una potenza fino a 500 kW
8	hanno una potenza fino a 501 – 1,000 kW
8	hanno una potenza fino a 1,001 – 2,000 kW
15	hanno una potenza fino a 2,001 – 5,000 kW
3	hanno una potenza fino a 5,001 – 10,000 kW
3	hanno una potenza fino a 10,000 kW
19	Sono costruite su opere idro-tecnici.
22	Sono nuovi assi
17	Potenza di N = 62.000 kW sono progetto - idee e implementazioni progettate
13	Potenza di N = 56.000 kW sono con design - idea e studio
11	Potenza di N = 22.000 kW sono identificate

**Tabella 3** Le caratteristiche dei centrali idroelettriche che si possono installare  
[Fonte Mitrushi, 2006]

## 2.2 Energia solare

Per via della posizione geografica favorevole l'Albania come un paese mediterraneo può approfittare di una parte considerevole della radiazione solare, la quale può essere usata per lo sviluppo dei pannelli solari dove la produzione dell'acqua calda sarebbe l'equivalente di 1000 GWh<sub>termica</sub> di energia, e anche per lo sviluppo dei pannelli fotovoltaici (AKBN, 2007). La media della radiazione solare in Albania è di 2400 ore. Fier è la città che detiene il record con 2850 ore (Ecofys BV, 2006). Rappresenta interesse l'utilizzo di energia solare nelle zone di Durazzo, Saranda, Valona, ecc. Maggiori dettagli sono riportati nella tabella seguente:



**Grafico 1** La radiazione media del sole in alcuni paesi Europei in kWh/m²/giorno  
[Tratto da EEC, 2001]

## 2.3 L'energia del vento

In base ai dati dell'Istituto Hidro-Meteorologico (IHM) l'Albania possiede delle zone idonee per l'utilizzo del vento a fini energetici. Per questo è importante la conoscenza dei parametri quali la velocità media, numero di ore del vento all'anno

ad una certa altezza, ecc. La tabella seguente mostra la velocità del vento e la densità di energia di alcune zone del paese.

Mese	Durazzo	Kryevidh	Tepelena	Saranda	Valona
gennaio	4.20	5.00	5.80	4.90	5.10
febbraio	4.50	5.10	5.70	4.90	5.20
marzo	4.20	4.60	5.90	4.80	4.50
aprile	4.10	4.50	4.30	4.60	4.40
maggio	3.60	3.70	4.60	4.30	4.10
giugno	3.40	4.10	4.40	4.50	4.10
luglio	3.30	4.30	3.50	4.60	3.90
agosto	3.20	4.00	3.50	4.40	3.80
settembre	3.30	4.30	4.10	4.10	4.00
ottobre	3.60	4.70	5.30	4.50	4.50
novembre	4.20	4.90	4.70	4.70	4.60
dicembre	4.40	5.10	5.60	5.00	5.00
annuale	3.833	4.525	4.783	4.608	4.433
<b>Densità (W/m<sup>2</sup>)</b>	<b>75 – 150</b>	<b>100 – 230</b>	<b>100 – 235</b>	<b>110 – 250</b>	<b>100 – 230</b>

**Tabella 4** La densità dell'energia e la velocità media del vento a 10 m di altezza in alcune città [Fonte IHM, 2007]

In base alla situazione attuale in Albania è previsto che il 4% della produzione totale di elettricità entro il 2025 si produrrà dall'energia eolica (circa 400 GWh/all'anno). Nelle zone dove il vento ha una durata e una velocità più lunga si possono costruire più di 20 EEC vicino agli acquedotti che servono a proteggere la terra dalle inondazioni (Nashi ERE, 2009). Tuttavia occorre notare che attualmente non esiste nessun kWh prodotto dalla energia eolica. Questo per vari motivi legati all'infrastruttura e alla legislazione albanese.

#### 2.4 Biomassa

La biomassa è una fonte di energia che si può trovare quasi in tutto il paese. L'Albania è ricca di legno da fuoco, che purtroppo viene ancora utilizzato in modo inefficiente. Grande interesse viene mostrato anche per la grande quantità di cespugli ed i rifiuti solidi urbani. Secondo numerosi studi effettuati si stima che l'energia potenziale da rifiuti agricoli è stata di circa 800 toe/anno (tonnellate equivalenti di petrolio all'anno) nel 1980, mentre nel 2001 circa 130 toe/anno. La biomassa dalle piante agricole non può essere presa in considerazione per la produzione di energia poiché questi residui vengono utilizzati per mangimi per animali. La biomassa prodotta dal bestiame è bassa a causa del numero limitato di animali domestici.

Anche il potenziale dei rifiuti solidi urbani in diverse città d'Albania si stima circa 405.615 tonnellate equivalenti di petrolio (toe) per il 2010 (BERS, 2004). Invece per l'anno 2020 si prevede 9.517 Mtoe (Nashi, 2009).

#### 2.5 L'energia geotermica

Le risorse geotermiche sono presenti in alcune zone in Albania le quali sarebbero molto appropriate per il suo uso. Ci sono molte fonti termiche con un basso potenziale termico e temperatura massima fino a 330°C. Sono state definite tre aree geometriche: lo spazio geometrico dell'Ardenica nella regione costiera con temperatura 32-38°C ed una portata di 15-18 l/s; lo spazio geometrico di Kruja che è anche il più grande del paese con una riserva di (5.9 x 10<sup>18</sup> – 50.8x10<sup>18</sup>)J e lo spazio geometrico di Peshkopia a nord con una temperatura di 43.5°C ed una portata di 14-17 l/s. (Nashi, 2009).

No	Nome della regione	Temp. °C	Coordinate geografiche		Debito 1/s
			Larghezza V	Lunghezza	
1	Mamuras 1 dhe 2	21 – 22	41°31'3"	19°38'6"	11.7
2	Shupal	29.5	41°26'9"	19°55'24"	<10
3	Llixha Elbasan	60	41°02'	20°04'20"	15
4	Hydrat, Elbasan	55	41°1'20"	20°05'15"	18
5	Peshkopi	43.5	41°42'10'	20°27'15"	14
6	Ura e Katiut Langaricë, Përmet	30	40°14'36"	20°26'	>160
7	Vromoneri, Sarandoporo	26.7	40°5'54"	20°40'18"	>10
8	Finig, Sarandë	34	39°52'54'	20°03'	<10
9	Perroi i Holtes, Gramsh	24	40°55'30"	20°09'24"	>10
10	Postenan, Leskovik	Flusso primavera	40°10'24"	20°33'36"	

**Tabella 5** La distribuzione delle sorgenti termali con bassi entalpie  
[Fonte Frasher, 2004]

Attualmente l'Albania è in fase dello studio di fattibilità in termini di perforazione di pozzi per lo sfruttamento dell'energia geotermica a fini energetici.

### 3. La legislazione per le Energie Rinnovabili in Albania

Secondo gli studi condotti dalla Strategia Energetica Nazionale (SEN), risulta che si dovrebbe incoraggiare l'uso efficiente dell'energia, con un impatto minimo sull'ambiente, perché il settore energetico si dovrebbe trasformare nel settore che promuove lo sviluppo stabile economico e sociale in Albania. Ciò significa che il settore privato, ma anche quello statale dovrebbero incoraggiarsi a utilizzare fonti locali di energie rinnovabili (FER).

Una delle direttive dell'Unione Europea per l'Albania, ossia la direttiva 2001/77/CE "Sulla promozione e produzione di energia elettrica" di FER, è la promozione e la creazione della legge sulle energie rinnovabili, la quale è stata già adottata da molti paesi europei come: Germania, Paesi Bassi, Austria, Danimarca, Spagna, ecc. Questa legislazione garantisce e favorisce gli investimenti in queste risorse. La creazione di questa legislazione sulle energie rinnovabili è anche uno dei requisiti del Trattato sull'Energia dove l'Albania fa parte.

Attualmente, in Albania c'è già una legge per le energie rinnovabili, la legge no. 8987, data 24.12.2002 "Per la creazione di condizioni favorevoli per la costruzione di nuove fonti di generazione di energia elettrica". Ma questa legge è carente nel promuovere e utilizzare diversi tipi di energie rinnovabili. L'Unione Europea ha finalizzato il 12 ottobre la Relazione sui Progressi compiuti dall'Albania nel 2011. Secondo questa relazione si mette in evidenza il fatto che l'Albania non ha progredito nel campo delle energie rinnovabili. Il quadro normativo e quello regolatore non sono conformi alle direttive europee.

A questo scopo la normativa sullo SER (Sistemi di Energia Rinnovabili) dovrebbe essere sistemata e pienamente conforme alle suddette direttive dell'UE e del trattato dove l'Albania fa parte. Adesso elenchiamo alcuni esempi concreti:

La legge sul settore dell'energia elettrica (articolo 39) fissa un obiettivo del 3% per la produzione di energia elettrica per il periodo 2010-2012, che aumenta dello 0,75% annuo. La legge dei biocarburanti prevede che a partire dal 2010 l'importo annuale minimo di biocarburanti nel settore dei trasporti non dovrà essere inferiore al 3% dei carburanti totali scambiati sul mercato, entro il 2015 non inferiore al 10%. La stessa pratica può essere eseguita anche nel settore delle energie rinnovabili in generale.

Esiste una pratica per l'installazione obbligatoria di impianti di riscaldamento in edifici di nuova costruzione DCM (decisione del Consiglio dei Ministri) no.584, data 02.11.2000 "Per il risparmio e la protezione energetica negli edifici" e la legge no.8937, data 12.09.2002 "Sulla protezione del calore nell'edificio". Ma ci sono stati problemi con l'attuazione pratica di entrambi gli atti. Lo stesso problema può ripetersi per l'installazione di pannelli solari sugli edifici privati di più piani. Perché questo non accada, questa legge dovrebbe essere applicata anche negli edifici pubblici che consumo acqua calda sanitaria, come proposto nel progetto di decisione.

Nella legge no. 8987, data 24.12.2002 "Per la creazione di condizioni favorevoli per la costruzione di nuove fonti di produzione di elettricità" vengono esclusi i produttori di energia elettrica che utilizzano sistemi di energia rinnovabile dai

dazi doganali su macchinari ed attrezzature e il rimborso delle ascisse sui carburanti quando essa proviene da SER. L'esclusione degli impianti di energia rinnovabile dai dazi doganali e dall'IVA ridurrà notevolmente il loro costo.

Deve iniziare l'installazione obbligatoria dei pannelli solari termici sugli edifici pubblici ed a seguire sugli edifici in altri da altri settori come l'albergheria, servizi, ecc. Poi si dovrebbero escludere dai dazi doganali e, per qualche tempo, ogni sistema che è legato agli impianti di energie rinnovabili, come per esempio: pannelli solari termici, perché questo ridurrebbe il costo della loro installazione.

Oltre a questo si dovrebbe adattare anche la legislazione, rispettando le direttive dell'UE (Unione Europea), in modo che l'eventuale eccedenza di energia elettrica prodotta da impianti da fonti rinnovabili venga assorbita dalla rete di società che distribuisce l'elettricità (divenga un obbligo acquistarla).

Ma oltre a misure giuridiche dovrebbero essere prese anche misure promozionali. Per questo dovrebbe crearsi un'istituzione o un ente pubblico per la promozione dei sistemi di energie rinnovabili in generale. Il governo dovrebbe organizzare, con i suoi organi competenti, campagne di sensibilizzazione in diversi settori dell'economia e imprenditoriale per promuovere questi impianti che utilizzano energie rinnovabili.

#### 4. Raccomandazioni

Per incoraggiare la produzione e l'uso di energie rinnovabili raccomando di migliorare la legislazione esistente. Questo dovrebbe essere fatto completandolo con atti legali che stimolerebbero l'uso delle fonti rinnovabili, in base alle direttive dell'UE. Si dovrebbero organizzare anche campagne di sensibilizzazione per la produzione e l'utilizzo del FER. Per ridurre la dipendenza dall'energia importata, si devono sfruttare al massimo le fonti locali di energia rinnovabile.

#### 5. Conclusioni

Attualmente l'Albania non ha una legislazione adeguata per la produzione e l'utilizzo delle fonti rinnovabili, la quale impedisce l'integrazione dei nuovi produttori di energie rinnovabili.

#### Bibliografia

- DCM no.584, data 02.11.2000 "Per il risparmio e la protezione energetica negli edifici"  
EBRD, 2004, Renewable Energy Initiative  
EEC, 2002 Albania EU EEC homepage <https://www.eec.org.al>  
Frashëri A, 2006. "Le risorse geotermiche in Albania e il loro uso efficiente"  
<http://www.aidharmonisation.org.al/>  
Co-PLAN, Istituto per lo Sviluppo del'Habitat  
Gjoka K, 2007, "Le ricerche sulla valutazione delle potenzialità delle energie rinnovabili in Albania"  
IHM, 1978 Istituto di Hydro - Meteorologia, Tirana 1978  
Kamberi Z, Pogaç I, "Programma per l'Albania nell'ambito dell'iniziativa mondiale di trasformare e il rafforzamento del mercato globale per il riscaldamento dell'acqua solare"  
Legge no. 8987, data 24.12.2002 "Per la creazione di condizioni favorevoli per la costruzione di nuove fonti di produzione di elettricità"  
Legge no.8937, data 12.09.2002 "Sulla protezione del calore nell'edificio".  
Mills L, 2009, "Rapid Environmental Assessment for the Industrial and Energetic Park's at Porto Romano, Durrës, Albania"  
Mitrushi P, 2006, "L'utilizzo dell'energia eolica in Albania"  
Nashi A, "Fonti di produzione e sviluppo delle infrastrutture dell'energia in Albania il ruolo delle linee commerciali" da parte dell'Ente di Regolamentazione dell'energia (ERE)

## Albania's Internal Instability and the Position Held by the Italian Government in the Years (1920-1924)

**Dashnor Ibra**

PHD, Candidate, University of Tirana, Faculty of History and Philology,  
Department of International Relations  
[dashibra@yahoo.it](mailto:dashibra@yahoo.it)

---

**Abstract** The purpose of this paper is the analytical representation of the historical, political and diplomatic situation that has accompanied the internal political situation in Albania and the position held by the Italian Government during the years 1920-1924. The Years period 1920-1924 reflects a chaotic state of governance in Albania, characterized by a political struggle, which had two key figures as the protagonist of these years, Fan Noli and Ahmet Zogu. This instability was evident if we take into account the fact that from January 1920 until June 1924 in Albania was formed 12 different governments. The Albanian political situation appeared somewhat confused by the tightening of the contrasts between the two great currents, liberal and conservative, in which he divided the Albanian political spectrum. During this period of confrontation both political camps in Albania made the request for support by the Italian Government. The Government of Italy during this period took a decision not to intervene in the internal affairs of Albania, and this attitude also asked to keep Yugoslavia, under the Agreement concluded with the Belgrade Government in June 1924. The position of Italy to Albania will change after the arrival to power of Mr. Ahmet Zogu, who despite that came to power aided by Yugoslavia, sought to recover the good relations with Italy, from where he received a guarantee of economic, political and military. This assistance provided will help the country emerge from the crisis, where she was, but also would ensure its long-term power, and would be a powerful deterrent against countries like Greece and Yugoslavia.

**Key Words:** Albania, Italian, Governance in Albania, Politic situation, Albanian political spectrum, Italian Government, Fan Noli, Ahmet Zogu

---

### La situazione interna in Albania 1920-1924

La situazione politica albanese si presentava alquanto confusa per l'inasprimento dei contrasti tra le due grandi correnti, liberali e conservatrice, nelle quali si divideva lo schieramento politico albanese.

L'ammissione nella Società delle Nazioni e la definizione del confine rafforzarono l'identità sul piano internazionale del nuovo Stato Albanese.

Finalmente l'Albania esisteva come entità autonoma, anche se rimanevano tutti i gravi problemi interni che determinano, tra il 1920 e il 1924, una vivace lotta politica dove riaffiorano interessi personali e locali.

La lotta politica che investiva il Paese tra il 1920 e il 1924 ebbero come protagonista le due grandi figure di quegli anni, Ahmet Zogu e Fan Noli, che fu chiamato il Governo Rivoluzionario e il Governo di Ahmet Zogu chiamato il Trionfo della legalità è di particolare interesse.

Il 24 gennaio 1924 il Patto di Roma tra l'Italia e la Jugoslavia destò gravi preoccupazioni a Tirana, poiché c'era il sospetto che l'intesa tra Roma e Belgrado fosse sola a spese dell'Albania (P.Pastorelli 1970, pag.20).

Tale preoccupazione e agitazione in Albania fu evidenziata dopo il telegramma che il marchese Carlo Durazzo, ministro plenipotenziario in Albania dal luglio 1922, aveva inviato a Mussolini pronunciando "che vi era molta agitazione nel paese a causa del persistere di voci, secondo le quali la Jugoslavia si apprestava a occupare Scutari e che l'Italia, dopo il recente accordo, avrebbe lasciato fare" (DDI, serie VII, Vol.3, D.28, pag.19).

Mussolini smentì le notizie che erano emerse in Albania per ciò che riguardava intesa itala – jugoslavo a danno di Scutari (DDI, seri VII, Vol.3, D.51, pag.36).

Il punto di vista del presidente del Consiglio e ministro degli esteri, Mussolini verso l'Albania avvenne meglio in un suo telegramma inviato a Carlo Durazzo il 19 marzo 1924 in cui veniva reso chiaro anche lo stato dei rapporti italo - albanesi e la causa che ne costituiva il principale motivo di turbamento: " Siamo ormai superfluo insistere sulla inesistenza di qualsiasi accordo tra Italia e Jugoslavia che apporti una modifica della nostra politica verso codesto Paese, se non quella di poter esplicitare, destando minori sospetti, un'azione generale più efficace a sostegno del rispetto dell'indipendenza ed integrità territoriale albanese....." (DDI, serie VII, Vol.3, D.88, pagg.58-59).

In Albania prescindendo da questa insicurezza esterna, legata all'accordo italo - jugoslavo, nacque subito una crisi interna e un'instabilità governativa. Infatti, dal 30 gennaio 1920 fino al giugno 1924 furono formati nel paese quasi dodici governi diversi. Solo al dicembre 1921, si alternarono al governo quattro diverse alleanze. (Historia e Shqipërisë, MASH, pagg.203-204).

Secondo l'autore Bernd J.Fischer: "la realtà della politica albanese del primo dopoguerra fu lo stesso di quello che fu durante tutti i tempi antecedenti, in quanto tutte le vicende si decisero in funzione della personalità dell'individuo e della quantità dei fucili che lui era capace di raccogliere intorno a sé" (B.J.Fischer, 1997, pagg.36-37).

Già dai primi dell'anno 1924, la situazione politica albanese si presentava alquanto confusa per l'inasprimento dei contrasti tra le due grandi correnti, liberali e conservatrice, nelle quali si divideva lo schieramento politico albanese dopo il Congresso nazionale di Lushnje del marzo 1920, dalla quale aveva avuto inizio il regime parlamentare in Albania. La corrente liberale propugnava l'eliminazione del sistema semif feudale esistente e un generale rimodernamento delle strutture del Paese, ispirandosi al modello delle democrazie occidentali. La corrente conservatrice non negava la necessità delle riforme ma allenando tutti i maggiori feudatari terrieri e il ceto amministrativo era concorde nell'opporci alla perdita dei privilegi di cui aveva goduto sotto la dominazione ottomana. Per quanto le elezioni del dicembre 1920 avessero segnato una flessione delle posizioni liberali, fino a tutto il 1922 i governi furono di prevalente maggioranza liberale. Dalla corrente liberale, che aveva preso l'etichetta di Partito Popolare, uscì la frazione radicale più intransigente, capeggiata da monsignor Fan Noli e da Luigi Gurakuqi, che si chiamò Partito Democratico.

Dalla corrente conservatrice, guidato da Shefqet bey Verlaci, e che amava definirsi Partito Progressista, si distaccò l'ala meno estremista, facente capo a Iljas bey Vrioni, che formò il gruppo degli Indipendenti. Il partito Popolare riuscì molto indebolito dalla scissione ma, conservando ancora i suoi uomini migliori, Eshref Frashëri, che era il vero leader, Sulejman Delvino, Pandelevi Evangheli, Xhafer Ypi e vari altri, continuò ad avere largo prestigio (P.Patorelli, 1970, pagg.26-27).

La tensione tra le due opposte frazioni, un attentato contro Zog da parte di un aderente "all'Unione di Giovanni albanese", l'uccisione, per ritorsione, del fondatore dell'Unione, Avni Rustemi, favorirono il ricorso alle armi e dunque una ribellione contro il governo che portò all'allontanamento di Zogu al quale succede Shefqet bey Verlaci. Gli scontri armati si diffusero rapidamente sul territorio: contro Zogu si schierano i contadini delle regioni meridionali e la gendarmeria. Con le prime notizie della rivolta, giunsero anche a Roma richieste di aiuto da entrambe le frazioni in lotta. Ahmet bey Zogu aveva fatto avvicinare da persona amica il marchese Durazzo per far pervenire al Governo italiano la preghiera "di essere aiutato con armi e denaro" (DDI, serie VII, Vol.3, D.222, pag.135).

### **La formazione del governo Fan Noli e l'atteggiamento dell'Italia e degli altri paesi**

La preoccupazione che fu resa ufficiale dalla lettera di Fan Noli, Mussolini vide come più opportuno, per trovare una soluzione al problema albanese, a una possibile intesa direttamente con la Jugoslavia per stabilire il loro comportamento che dovesse seguire sulla questione interna dell'Albania. Ci fu a questo proposito un colloquio tra Brodero e Nincic, dove lo scopo principale per tutte e due fu quello di non turbare lo sviluppo di un'Albania indipendente ossia ciò che stava accadendo in Albania fu considerato un affare interno albanese (DDI, serie VII, Vol.3, D.236, pag.143).

In questo modo Italia e Jugoslavia s'impegnarono ad agire concordemente nella questione albanese. L'Italia riusciva a neutralizzare qualsiasi iniziativa pericolosa da parte jugoslava, mentre la Jugoslavia, molto preoccupata per la presenza tra gli insorti dei nazionalisti più accesi, avendo nel suo territorio un milione circa di albanesi, otteneva l'assicurazione che il nazionalismo albanese non avrebbe avuto l'appoggio italiano.

Il 9 giugno 1924, mentre era resa pubblica l'intesa italo - jugoslava, le forze degli insorti erano ormai nei pressi di Tirana: il primo ministro Iljas Vrioni, con Verlaci e numerosi altri esponenti del partito dei bey, lasciava il Paese rifugiandosi a Bari (Swire J., 1929, pag.433). La capitale invece era occupata dai vincitori la sera del 10 giugno 1924 (DDI, serie VII, Vol.3, D.249, pag.153).

Il 16 giugno 1924 Fan Noli formò un governo mentre Zogu, con i suoi fedeli, si rifugiò in Jugoslavia dove fu accolto come un alleato prezioso essendo il governo di Belgrado fortemente preoccupato per le rivendicazioni dei nazionalisti albanesi sulla regione del Kosovo (M.Schmidt-Nelke, 1987, pagg.119-120).

Mussolini mantiene una posizione di non ingerenza negli affari interni dell'Albania, non dando aiuto a nessuno dei leader in Albania, mentre la Jugoslavia prende in difesa nel suo territorio Ahmet Zogu (A.Q.Sh. (archivio dello stato in Albania), 8 dicembre 1924, D.207/8, pag.2).

Monsignor Fan Noli, il primo ministro dell'Albania (uscito dalla rivoluzione), sperava in una democrazia parlamentare. Egli voleva creare uno stato moderno (Arben Puto, 1990, pag.15), però subito si evidenziarono due problemi

fondamentali che impedivano la realizzazione di queste riforme, il primo fu il problema del riconoscimento e l'appoggio interno ed esterno del Paese e l'altro fu il problema dell'aiuto economico (I.Ushtelenza, 1997, pag.46).

Anche se si trattava di un riconoscimento del suo governo, F.Noli si trovava in una situazione disperata. Il Governo di Belgrado rifiutava il riconoscimento del nuovo governo, a causa dell'appoggio che Noli dava ai nazionalisti del Kosovo. Ciò fu rifiutato perché si pensava che Noli, secondo gli Jugoslavi, fosse un strumento nei mani dell'Italia. Il motivo di questo rifiuto era chiaro: il Belgrado appoggiava A.Zogu, che il quale era in continuo contatto e che tra altro aveva rifugio presso l'Hotel Bristol di Belgrado (A.Q.Sh. (archivio dello stato in Albania), fondi 251, viti 1924, D.136).

La Francia fu un'altra potenza che non accettò di riconoscere il governo di F.Noli, dando a questo diniego una spiegazione che non implicava alcun giudizio di carattere negativo sul Governo di F.Noli, anzi forzando elegantemente la realtà, si ignorava la rivoluzione (A.Puto, 1990, pagg.40-41).

Un altro rifiuto venne da parte della Gran Bretagna, per la questione della concessione del petrolio in Albania. Il rifiuto venne di più dalla paura verso F.Noli, il quale manteneva i legami stretti con il gruppo albanese-americano "Vatra" che erano, secondo la Gran Bretagna, favorevoli alla concessione di petroli in Albania alla società "Standard Oil Company" (B.J.Fischer, 1996, pag.207).

Il motivo dell'esito negativo da parte della Francia e dalla Gran Bretagna al governo di F.Noli la potremo capire meglio nella lettera che Mehmet Konica inviò a Sulejman Delvina diceva "che il Governo Francese e il Governo Britannico in base ai contatti che aveva avuto con i loro ufficiali non lo conoscono il nuovo governo che era venuto con i loro ufficiali on lo conoscono il nuovo governo che era venuto con i loro ufficiali non lo conoscono il nuovo governo che era venuto in potere con la forza" (A.Q.Sh. (archivio dello stato in Albania), date 26.6.192, fondi 251, viti 1924, D.140).

Trovatosi di fronte questa situazione, il governo di F.Noli cercò di giocare l'altra carta, cioè chiedere l'aiuto e il riconoscimento del suo governo tramite la Società delle Nazioni. La risposta fu negativa, avendo come avversaria la Jugoslavia, alla conseguenza il sistema della Piccola Intesa, ma anche la Gran Bretagna. Possiamo vedere una testimonianza nel tono amaro e ironico che Fan Noli dette al Discorso pronunciato all'Assemblea generale. "Quando si passa in rassegna il lavoro compito dalla Società delle Nazioni nei cinque anni d'attività", esordì, "temo che anche il pacifista più entusiasta debba alzare le braccia al cielo, disperato, e gridare: "Meglio la guerra che queste chiacchiere fastidiose sulla pace!"

Venuto al problema albanese, così perseguitò: "L'Albania, lo sapete, è un boccone da inghiottire che è difficile tagliare ulteriormente, perciò la Società delle Nazioni ha deciso saggiamente di lasciare l'Albania tranquilla, libera, bagnata dai flutti dell'Adriatico" (A.Puto, 1990, pagg.263-268).

Visto che anche la S.d.N. rifiutò il sostegno finanziario e il suo riconoscimento, a F.Noli non rimase altra strada oltre a questa verso la richiesta dell'aiuto da parte dell'Italia.

Per Roma la situazione rimaneva complessa. Da un lato, sembrava utile accogliere il suggerimento del rappresentante in Albania, per favorire quell'instaurazione di buoni rapporti perseguita dall'Italia e già tentata da Mussolini con le istruzioni del 10 giugno. Dall'altra parte c'era l'esigenza di non dissociare la posizione dell'Italia da quella delle altre grandi Potenze e della Jugoslavia, per non incorrere nell'accusa, tanto ricorrente quanto non fondata in quel periodo, che il Governo italiano volesse tentare nuovamente una politica egemonica in Albania (DDI, serie VII, Vol.3, D.257 307, pagg.152 e 179).

Roma mantenne la linea seguita dalla Francia. Il Governo italiano aveva preso così la decisione di considerare chiuso il problema del riconoscimento e di lasciar cadere la richiesta di aiuto avanzata da Tirana (A.Puto, 1990, pagg.16-17).

A proposito della posizione mantenuta dall'Italia verso il Governo di Fan Noli si può vedere anche nella risposta che Mussolini fece alla lettera che gli aveva inviato Noli (P.Pastorelli, 1967, pagg.48-49). Mussolini mantenne la sua risposta in termini misurati: "Confermò per il conseguimento, da parte dell'Albania, di quell'assetto interno ed esterno che le consentisse un pacifico e proficuo sviluppo ma fornì solo generiche assicurazioni della simpatia con la quale l'Italia considerava i problemi albanesi" (P.Pastorelli, 1967, pagg.50-51).

Questa posizione mantenuta da parte dell'Italia fu senz'altro per Fan Noli un duro colpo, che lo richiamò alla realtà della difficile situazione, cui non rimane altro che dimettersi.

Se il Governo di Fan Noli facilitò con la sua condotta l'azione di quanti, dall'interno e dall'esterno cercavano di insidiarne l'esistenza, si può senz'altro affermare che Ahmet bey Zogolli riuscì nell'intento di rientrare vittorioso a Tirana in breve tempo per il concorso di due fattori: l'aiuto militare fornitogli dalla Jugoslavia, e le sovvenzioni in denaro ricevute dalla Gran Bretagna, o meglio dall'Anglo-Persian Oil Company.

Così Fan Noli si trovava in una difficile situazione: nessun appoggio né dalla Italia e né dalla Società delle Nazioni, ma solo il riconoscimento *de jure* dell'indipendenza ottenuto dall'Unione Sovietica. Mentre all'interno, il vivo malcontento di una parte dell'opinione pubblica, e, soprattutto, la catastrofica situazione delle finanze giunta fino all'impossibilità di



assicurare gli stipendi al personale statale. Tutto ciò mentre continuavano a giungere a Tirana notizie sempre più precise e frequenti dell'azione militare che Zogolli stava preparando al di là del confine. (P. Pastorelli, 1967, pagg. 71-72).

### Ahmet bey Zogolli al potere e l'atteggiamento dell'Italia

Fin dal mese di luglio 1924 era noto a Tirana e a Roma che Ahmet bey Zogolli, giunto a Belgrado alla fine di giugno, si era comodamente insediato al Hotel Bristol con un piccolo gruppo di collaboratori e ufficiali che formavano il suo stato maggiore. I primi approcci lui se li mantenne dallo Stato Maggiore jugoslavo, considerato quello che poteva offrire in cambio una volta tornato al potere, concessioni per le ricerche e lo sfruttamento dei petroli e amicizia politica del suo governo (I. Ushtelenza, 1997, pag. 48).

Zogu e i suoi collaboratori avevano una notevole libertà d'azione e di movimento in Jugoslavia. Suoi fiduciari effettuavano frequenti viaggi nelle regioni di confine con l'Albania, per inquadrare i rapporti in via di costituzione e dotarli delle armi che provenivano dai magazzini militari jugoslavi e di quelle che venivano acquistate (Swire J., 1929, pag. 449).

Il 2 novembre, il marchese Carlo Durazzo riferiva a Palazzo Chigi di avere raccolto prove perfettamente concordanti, "che l'azione jugoslava di propaganda e di corruzione in Albania andava prendendo proporzioni sempre più anti-italiane" (DDI, serie VII, Vol. 3, D. 579 e 580, pagg. 350 e 351).

Zogu organizzò in Jugoslavia una forza militare che gli sarebbe servita per sconfiggere le forze di Noli. Egli prese mille militari offerti dalla Jugoslavia della quale quaranta (40) erano ufficiali di generale bianco Wrangel, antibolscevico, il quale dopo la rivoluzione dell'ottobre del 1917 emigrò in Jugoslavia (A.Q.S.H. (archivio dello stato in Albania), fondi 251, viti 1924, D. 2, pag. 5).

Il console Sola il 26 novembre chiede di conferire con il ministro degli Esteri jugoslavo Nincic su quanto si stava verificando in prossimità dei confini albanesi. Sola gli fece rilevare che "ogni partecipazione o consenso alle mene dei partigiani di Ahmet Zogolli non poteva essere considerato dall'Italia che come una violazione della formula di non intervento negli affari interni dell'Albania, concordato nel 9 giugno del 1924". Egli tuttavia chiarì che l'Italia non si ergeva a protettrice di questo o quel Governo albanese, ma certo non poteva ammettere che movimenti artificialmente celati in quel paese procurassero nuove preoccupazioni e mettessero a repentaglio la pace nei Balcani (DDI, serie VII, Vol. 3, D. 588 e 589, pagg. 357 e 358).

Nincic rispose a Sola dicendo che: "Dopo aver ufficialmente dichiarato che il suo Governo era fermamente deciso a non incoraggiare nessun atto ostile contro l'Albania, ammise che i partigiani di Zogolli erano sussidiati dal Governo jugoslavo, e che essi erano concentrati in nuclei presso la frontiera, aggiungendo però di non credere a un tentativo armato di bande provenienti dal territorio jugoslavo anche in vista della stagione assai avanzata". Egli disse "di possedere le prove che il Governo Fan Noli aveva stabilito un'intesa con il Governo di Mosca e che denaro bolscevico finanziava le tribù anti-serbe, mantenute vive in Macedonia per opera del Comitato del Kosovo". Queste argomentazioni non convinsero molto il diplomatico italiano.

Il 13 dicembre 1924 Nincic dopo l'incontro con Mussolini, dichiarava: "Abbiamo esaminato la questione dell'Albania e abbiamo convenuto di mantenere l'accordo del giugno scorso, cioè di osservare a suo riguardo alla politica di non intervento dinanzi ad ogni eventualità di carattere interno, favorevole così il libero sviluppo di un'Albania indipendente" (DDI, serie VII, Vol. 3, D. 566, pag. 369).

Dopo tutto ciò che era successo per il Governo Italiano, la Jugoslavia, aveva mutato il suo orientamento, da una intesa fatta con Italia del 9 giugno 1920 passò a procedere per suo conto il problema albanese, nel tentativo di mutare lo *status quo* in Albania a suo favore tramite Ahmet Zogu.

Fu il 13 dicembre che il corpo di spedizione organizzato da Ahmet bey Zogolli, con la cooperazione dello Stato Maggiore jugoslavo, iniziò i primi scontri di frontiera nella zona di Prizren e di Dibra per tentare di aprirsi la via verso Tirana. Mentre si svolgevano queste operazioni nel settore est, altre due piccole colonne, una da nord, comandata dal capitano Zef Seregi, e un'altra autonoma, capeggiata da Mufid bey Libohova, proveniente dall'Epiro, entrarono in Albania: la prima per fare una mossa diversiva, e la seconda, per portare il contributo delle genti del sud (Berd J. Fischer, 1996, pagg. 85-86).

Il 18 dicembre, Fan Noli rivolgeva un pressante appello alla Società delle Nazioni, per segnalare l'attacco di cui era oggetto il suo Paese e chiedere che l'organizzazione prendesse le misure necessarie a salvare l'Albania dall'aggressione (S. Joseph, 1929, pag. 50).

Fan Noli inviò pure a Mussolini un messaggio, l'8 dicembre 1924, concludendo con la preghiera di intervenire presso il Governo jugoslavo, per mettere fine ad uno stato di cose che minacciava gravemente la pace nei Balcani (DDI, serie VII, Vol. 3, D. 622, pag. 376).



Inoltre Noli aveva fatto un altro colloquio con il marchese Carlo Durazzo chiedendo che “se di fronte a tale situazione l'Italia resta impassibile o indifferente, gli albanesi saranno indotti a disperare della loro causa: se l'Albania sarà destinata a diventare provincia jugoslava preferisce saperlo subito” (DDI, serie VII, Vol.3, D.623, pag.377).

Il Governo di Roma invia il 21 dicembre 1924 il generale Bodrero a Belgrado. La sua azione doveva tendere a far risultare pubblicamente la malafede del Governo jugoslavo nella questione, attraverso un'inchiesta ufficiale che accertasse le responsabilità di quanti erano personalmente coinvolti nella cospirazione contro il Governo albanese, e la conseguente punizione dei colpevoli.

Il presidente di consiglio, Pasic, negò in modo assoluto che le truppe jugoslave avessero passato il confine o che comunque il suo Governo avesse sostenuto l'azione di Zogolli, e in secondo luogo, escluse anche solo il aperto favoreggiamenti da parte delle autorità periferiche jugoslave ma non aveva smentì che queste avevano avuto ordine di mantenersi neutrali, cioè di lasciare liberamente transitare il corpo di spedizione di Ahmet Zogu, ovviamente proveniente dal territorio jugoslavo e diretto in Albania (I.Ushtelenza, 1997, pag.53; DDI, serie VII, Vol.3, D.629, pag.380).

Belgrado con il comunicato del 23 dicembre 1924 diceva: “Su proposta del ministero degli Affari Esteri, il Governo reale, a seguito della situazione verificatasi in Albania, ha ordinato che la frontiera serba verso l'Albania venga immediatamente chiusa. Al tempo stesso, ha dato ordine a tutte le autorità e guardie di frontiera perché tutte le persone, a qualunque partito appartengono, qualora tentino di attraversare la frontiera in entrambe le direzioni, vengono immediatamente disarmare e internate” (DDI, serie VII, Vol.3, D.631, pag.381).

Ma cosa significava, infatti, chiudere la frontiera, il 22 dicembre, quando non solo tutte le forze di Zogolli l'avevano da qualche tempo superata, ma era anche certo che questi non avrebbe avuto bisogno di ulteriori aiuti, essendo le sue colonne ormai vicine a Tirana, e la resistenza albanese quasi del tutto in via di esaurimento?

Avuto conferma delle notizie che segnalavano la vittoriosa avanzata di Zogolli su Tirana, l'idea con cui Nincic aveva creduto di poter eludere le reazioni italiane si rivelò non solo poco abile ma anche nociva agli interessi jugoslavi. Essa, se non le provocò, certo dette lo spinta ultima alle nuove categoriche richieste del Governo italiano, che non solo segnarono la definitiva rottura con la Jugoslavia circa il problema albanese, ma consentirono anche di attribuire la responsabilità degli avvenimenti alla malafede ed alla slealtà del Governo di Belgrado (P.Pastorelli, 1967, pagg.88-89).

Il 24 dicembre 1924 Ahmet bey Zogu entrava vittorioso a Tirana, celebrando il “Trionfo della Legalità”. La Jugoslavia appoggiando Ahmet Zogu, sperava di poter realizzare a questo punto i suoi obiettivi, lei era interessata *in primis* di far diminuire l'influenza dell'Italia in Albania, secondo poi moderare l'atteggiamento amichevole verso l'Unione Sovietica, che suscitava il malcontento della “elite” Jugoslavia che era anti-sovietica. La Jugoslavia pensava che un regime venuto al potere con il suo aiuto sarebbe restato più o meno dipendente da lei e avrebbero realizzato senza fatica i suoi desiderata (I.Ushtelenza, 1997, pag.54).

Bisogna dire però come rilevava Swire che: “Ahmet Zogolli non fu uno scacco matto, ma né anche un Esat Pascia Toptani, anche se facesse sì che gli jugoslavi lo pensassero come tale, portando loro in una vera delusione”.

La politica jugoslava della seconda metà dell'anno aveva indotto ora il Governo italiano a non ricercare più la soluzione del problema albanese nell'ambito dei rapporti italo-jugoslavi.

Il 16 gennaio 1925 Zogu assunse il posto di primo ministro. Il principale obiettivo, una volta ripreso il potere, fu la difesa del regime dai nemici interni ed esterni e principalmente il buon ritorno dei rapporti con l'Italia (G.Zamboni, 1970, pag.LIV), da dove il primo ministro sperava di ottenere l'aiuto economico molto importante in quel periodo difficile, così come le garanzie politiche e militari, verso la Grecia e la Jugoslavia. Zogu vedeva come importante e necessario un aiuto forte dall'estero, indubbiamente verso l'Italia, senza la quale non poteva far uscire il paese dalla situazione caotica in cui si trovava.

## Bibliografia

- Fischer Bernd J., Mbreti Zog dhe përpjekjet për stabilitetin në Shqipëri, a cura di Krenar Hajdarit, Tiranë, 1996.  
Duka Valentina, Historia e Shqipërisë, Tiranë, 2007.  
Swire Jospeh, Albania, The rise of a Kingdom, London, 1929.  
Puto Arben, Demokracia e rrethuar, Tiranë, 1990.  
Pastorelli Pietro, L'Albania nella politica estera italiana 1914-1920, Napoli, 1970.  
Schmidt-Nelke Michel, Entstehung und Ausbau der Königsditatur in Albanien (1912-1939), München, 1987.  
Ushtelenza Ilir, Diplomacia e Mbretit Zog I, Tiranë, 1997.  
Zamboni Giovanni, Mussolini Expansionspolitik auf dem Balkan, Hamburg, 1970.

## Archivio dello Stato dell'Albania e Documenti Diplomatici Italiani

- A.Q.Sh. (archivio dello stato in Albania), Njoftimi i Zyrës së shtypit pranë Ministrisë së Jashtme, fondi 251, viti 1924, D.136.
- A.Q.Sh. (archivio dello stato in Albania), lettera di mehmet Konica drejtuar Sulejman Delvinës, më datë 26.6.192, fondi 251, viti 1924, D.140.
- A.Q.SH. (archivio dello stato in Albania), telegrami i legatës italiane, Durrës 6 dhjetor 1924, fondi 251, viti 1924, D.2, pag.5.
- Telegramma del Ministero plenipotenziario a Durazzo, Carlo Durazzo, fatto al presidente del Consiglio e Ministro degli Esteri, Mussolini del 29 febbraio 1924, in DDI, serie VII, Vol.3, D.28, pag.19.
- Mussolini a Durazzo, telegramma del 7 marzo 1924, T.760, in DDI, serie VII, Vol.3, D.51, pag.36.
- Mussolini a Carlo Durazzo, telegramma del 19 marzo 1924, T.RR.945, in DDI, serie VII, Vol.3, D.88, pagg.58-59.
- Fan Noli a Carlo Durazzo, lettera del 26 maggio 1924, in DDI, serie VII, Vol.3, D.222, pag.135.
- Bodrero a Mussolini, telegramma del 5 giugno 1924, in DDI, serie VII, Vol.3, D.236, pag.143.
- Mussolini a Durazzo, telegramma del 10 giugno 1924, in DDI, serie VII, Vol.3, D.249, pag.153.
- Mussolini ad Aloisi ed ad Attolico, telegramma del 13 e 21 giugno 1924, T.1906 e T.1997, in DDI, serie VII, Vol.3, D.257 307, pagg.152 e 179.
- Telegrammi di Carlo Durazzo del 23 novembre 1924, in DDI, serie VII, Vol.3, D.579 e 580, pagg. 350 e 351.
- Telegrammi di Sola del 26 novembre 1924, in DDI, serie VII, Vol.3, D.588 e 589, pagg. 357 e 358.
- Fan Noli a Mussolini, telegramma del 18 dicembre 1924, in DDI, serie VII, Vol.3, D.622, pag.376.
- Telegramma di marchese Durazzo del dicembre 1924, in DDI, serie VII, Vol.3, D.623, pag.377.
- Telegramma di Bodrero a Mussolini, del 21 dicembre 1924, T.Gab.1491/612, in DDI, serie VII, Vol.3, D.629, pag.380.
- Telegramma del Bodrero a Mussolini, del 22 dicembre 1924, T.Gab.1496/614, in DDI, serie VII, Vol.3, D.631, pag.381.

## Society under Sustainable Developments Prospective in District of Elbasan, Albania

**Evisa Duka**

PhD Candidate

"A.Xhuvani" University Elbasan, Albania

Faculty of Education

Email: [evisdruk@ymail.com](mailto:evisdruk@ymail.com)

---

**Abstract:** The purpose of this proposed session is to introduce the status of sustainable development in my country Albania, bringing in attention sustainable development and society in a very symbolic district of the Country, the Elbasan district. Under the Global Millenniums Goals, the society across the world is ambitiously exercising principles of sustainable development, linking economy, society and environment toward a better wellbeing for future generations. Sustainable development principles require societal actions beyond borders of states, political and economy sectors, as well as of the generations and societal diversities. What is the Albanian contribution with regards to the Earth Summit Challenges, while it is fully integrating in the regional and global processes under the freedoms of market economy? Through my paper I will introduce the status of sustainable development in my country Albania, bringing in attention sustainable development and society in a very symbolic district of the Country, the Elbasan district, pointing out local societies both as contributors and beneficiaries in the process. I will present district natural and human resources under the sustainable prospective, while a lot of work needs to be done in order to prevent the very critical environmental condition along the city or periphery due to former metallurgy activity in the district. The role of society is indispensable in the process, while bottom up initiatives must push local and central governments to design and implement budgets fostering a sustainable development.

**Key words:** society, sustainable development, environment

---

### Introduction

The sustainable development is regarded as the model which will determine the future rhythm of development by harmonizing components of economy, society and environment in order to build a society of wellbeing in global dimensions. Such conceptualization requires also the generations' communication and harmony for using resources, human and nature creativity in a prospective way. (Brundtland Commission, 1987) <sup>1</sup>SD: it's about development which meets the present needs without compromising future generations capacity to answer their needs. The term SD began to have a great acceptance during the 80s, in 1987 after its appearance in "Our Common Future" known also as Brundt Land Report, which signaled the urgent need for re dimensioning our way of life and government.

Are there in Elbasan district territory the resources and opportunities to develop under such rhythm and indicators according to regional and European development example? In order to answer this question I will deal with the resources and conditions of the district territory space, economic development and environment state for coming to the conclusion that Elbasan district territory can be developed according to the sustainable development model by aiding thus its society groups' wellbeing.

Its geographical position, human and natural resources along with its historical and cultural heritage make Elbasan one of the most important cities in Albania. Numerous information sources present the city with high development rhythm and as an important strategic, administrative, military and economic center of Central Albania.

Knowing the fact that cities serve as centers of economic development, cultural creativity, technological innovation, human progress and social services improvement, it's worth observing Elbasan city case and its mission as a city. This fact is highlighted also if we would consider global development pre requisites, having cities playing the role of linkage and communication node for different economic, political and societal actors in regional and global dimensions.

Let me describe in a summary and in a measurable way Elbasan district indicators with regards to its position, territorial dimensions, limitations and its location as a linking bridge for other country areas or across the national border.

---

<sup>1</sup> The Report of Brundtland Commission deal with sustainable development and the changes politics needed for achieving that.

The city is located at the center of Albania, surrounded by Tirana district and Dibra district in the north, Korca district in the east, Berat district in the south and Fieri district in the southeast. Its territorial administrative organization included four counties: Elbasan, Librazhd, Gramsh and Peqin, 7 municipalities, 43 communes and 398 villages (Lika, 2009.)<sup>2</sup>

The district is extended in a territory of 271, 80 kemp from which 2600 acres make Elbasan municipality administrative territory where 760 acres are situated inside the existing limitation line (Elbasan Municipality, 2006 pp 56)

Below, through the following indicators I will show some evidence that Elbasan has all the necessary natural and human resources along with opportunities to direct its territory development, economy, society and environment according to sustainable development principles.

Elbasan historically has been an important strategic center. Being located at the intersection of North-South and East-West national roads, the city has served as an important transition point and as a stopping place, being mentioned as an urban, military and Episcopal center. After Agnatic way became impossible for travel because of pagan invasion, the city is not mentioned anymore and was destructed during Slavic and Bulgarian invasion somewhere between the VI-VII centuries.

Because of its positioning in Central Albania, Elbasan constitutes a bridge between north and south, east and west of Albania. Located at a distance of only 70 km from the most important cities in Albania, as Tirana and Durres, it constitutes an important node of the national road and railway network which is under construction linking Tirana-Durres-Elbasan.

Having a flat and partly hilly terrain with an average altitude of 440 m Elbasan is considered as a city with great natural, territorial, cultural and historical resources and thus with an important role nationally.

According to the International Panel of Climate Change projections, referring to the strong linkage between climate change, water and agriculture, changes in quantity and quality of water will affect food sources, their stability, access and use. Climate change will modify also the functioning and course of the current water infrastructure.

What about water resources and infrastructure in Elbasan district?

Elbasan territory is rich with water resources. The water surface constitutes 650 acres, including natural lakes; 84 lakes in Dumrea and Klos area and reservoirs constitute 342 acres including 46 reservoirs as for example Tregor, Kullollas (Perrenjas), Gjocaj (Peqin) reservoirs etc (Elbasan District Council, 2009 pp 6)

The irrigating capacity of these reservoirs and lakes is 11,983 acres which is very important to the economic development of this district and more specifically to the sector of agriculture. Some of the irrigating canals are those of Naum Panxhi, Solova and Ferrasi (Elbasan District Council, 2009 pp5)

EU policies consider water resources as a factor for economic development and society well being.

Water is one of the most valuable resources, fundamental to life and health, but also to the growth of many economic sectors such as agriculture, manufacturing and energy production. The sustainable management of water is crucial in the efforts to eliminate poverty, since poor people's lives are closely linked to access to water and its multiple uses and functions. Water also has strong implications for regional relations, peace and security. Clearly, policies have to be strengthened to improve water access, quality and efficiency (EU Communication)

Also Elbasan district is known for its groundwater sources which provide Elbasan city with its potable water, Krasta, Mengel and Griqan sources.

Devoll and Shkumbin rivers which traverse Elbasan district territory are an important natural resource but also an opportunity and potential in environmental terms. These rivers form geographical landscape rich with forests, water resources (Elbasan Municipality, 2006 pp 24)

Other natural resources are forests resources which constitute a surface of 35520 acres from which 2751 acres are made of meadows and pastures (Elbasan District Council, 2009 pp10).

The abundant forest resources in Elbasan District territory can be considered as an important source of timber for bio fuels and other renewable energies, for light and heat systems, home furniture etc. Practices and energy policies at a global level favor these kinds of initiatives and experiences.

The future transition to second generation bio fuels produced from lignocelluloses biomass, waste material or other non-food feedstock depends on the advancement of R&D over the next few years and on investments that are currently being made, as well as on the continuation of bio fuel policy packages that have set up ambitious mandates for the production of second- generation bio fuel.<sup>3</sup>

<sup>2</sup> All statistic data mentioned are important to view Elbasan district.

<sup>3</sup> OECD/Fa(2011) Studies on environmental innovation

This argument is a defensible one in Elbasan mountainous areas where electricity transmission infrastructure is frequently under climate factor threatening. Whereas bio fuel can be used very well by transport vehicles in the city and fuel points along national road which link Elbasan with Tirana, Rrogozhina, Qafethana and Korca.

In this entire surface are found different trees and plants as for example pine, oak, gorse etc. Fauna and flora are characterized by its diversity. Flora is distinguished by numerous medicinal plants as rosemary, sage, gorse, hibiscus, levanter etc.

Also in Elbasan district can be found different animal species including wild ones, as for example wolf, fox, wild cat, deer, weasel, badger etc. Different aquatic species are trout, barbell which are in danger of extinction.

### **Human resources, population are considered as foundational asset for every area (Simon, 1977)**

Elbasan has all the possible human resources for building sustainable development models. It has a considerable number of inhabitants, a dynamic population, and young, educated and trained, diverse in ethnicity, religious beliefs. All these provide sufficient indicators for ensuring Elbasan territory a sustainable development from an economic, social and environment perspective. Elbasan is one of the biggest cities in the country. Referring to data from period 1989-2004 Elbasan has had 123,209 habitants (Albania census, 2001)

According to statistical data from 2009, Elbasan district has had a total population of 282,383 habitants from whom 120,549 are active population, 82,921 are self employed and 37,625 are unemployed. 57% of the total district population is rural (Lika, 2009 pp 35)

Migration from rural areas to urban areas and vice versa has increased population. It's worth mentioning that migration consisted of a rural migration, mainly after the 90s. This migration is directly connected with the economic and industrial development of Elbasan city, construction of Metallurgy Factory (1960) creating thus a lot of opportunities for employment and improvement of living conditions, better social services etc.

Like all areas in Albania, Elbasan district too was not spared by emigration phenomenon. This phenomenon affected 25% of population of the age group 14-30 years old. The difficult economic conditions and the desire for a better life made Elbasan inhabitants look towards Italy, Greece, Germany, and Belgium etc.

It's easy to read Elbasan district social profile through unemployment data. There is a discrepancy between municipality data and Labor office data with regards to employment rate; however we can say that at district level unemployment reaches to 160,000 people or 28% of active population.

In Elbasan city, 37,625 people are unemployed, mostly of age group between 25-65 years old and where 25% are between 18-25 years old (Lika, 2009 pp35)

Based on socio-economic studies of 2004 salaries (57%) and pensions (39%) are the main resources for most of the families in Elbasan city.

We should also mention those numerous families which benefit from economic assistance, around 30% of the total.

Level of education and professional qualification affects economic development, health and wellbeing of a country or region. Whereas policies built for orienting and developing society education and professional qualification bring forth direct social and economic benefits. Elbasan district benefits from inherited values for orienting education and professional qualification towards promoting contemporary models. It's worth mentioning here its long education tradition, having the first high school "Normalja" in Albania dating from 1909. Elbasan city education level is represented by a large number of kindergartens, around 17 public kindergartens and 4 private kindergartens (Elbasan Municipality, 2006 pp 45), elementary schools, high schools and "Aleksander Xhuvani" University.

There are 55 high schools, 32 of them in Elbasan County, 12 in Librazhd, 2 in Peqin and 9 in Gramsh. At a district level those enrolled at elementary schools are 64,446 from which 37,025 enrolled in Elbasan County and those enrolled at high schools are 16,999 from which 11,595 in Elbasan County.

The considerable numbers of young people who study at Elbasan University offer a great potential for developing the area according to a sustainable development model. The University Education is represented by 7 Faculties having 18 branches and offering to students 19 different diplomas. According to existing statistics related to university education in Elbasan the number of students for the academic year 2004-2005 were 7,982 students (Elbasan Municipality, 2006 pp 54)

As for the demographic components of students, 80% of them are females from which 37 % from rural areas. 39% of them are students from Elbasan and the other part is originally from different cities, as Berat, Fier, Lushnje, Vlore, Gramsh, Librazhd etc. The considerable number of educated females is a premise for a sustainable development model.

This high number of educated females will be tomorrow the administrators of Elbasan territory resources. Meanwhile, according to relevant literature, woman participation in every aspect of life is an indicator of sustainable development

model. (SD and Gender Issues) with optimistic indicators about education in Elbasan city, there are also some issues related to school infrastructure improvement, education quality etc.

### **Tourism as a great opportunity for Elbasan sustainable development**

As highlighted above Elbasan territory has considerable natural and human resources for tourism. Elbasan has been built in an antic historic site, intersection of communication roads. In many countries, the cultural and historical environment has increasingly been recognized as an important contributor to enhancement of the urban environment and regeneration initiatives through its catalytic role in revitalizing a city economy as well as reinforcing a sense of place and community.

The area has great tourist values as for example Krasta wooded hill located only 1.5 km from Elbasan, Gjinar village with an altitude of 1300 m and its beautiful forests, a spa area only 7 km from Elbasan in Tregan commune, Belshi area 40 km from Elbasan distinguished by its lakes, Byshek area which is a tourism point with cold water only 2 km from Elbasan with high tourism assets. (Elbasan Municipality 2006, pp56) It's worth mentioning also the olive grove north and northwest of the city close to Manazderie and Zaranika streams and pine forests in areas around Elbasan play their role in Elbasan city microclimate.

Because of its history and economic, social and cultural relations, Elbasan district offers all possible opportunities to orient development according to sustainable historical, cultural and social diversity tourism.

Relevant literature puts forth the fact that historical and cultural heritage can be transformed to a source of economic benefit and wellbeing by developing and supporting sustainable historical and cultural tourism. Based on this scientific argument and unique and abundant Elbasan resources this can be a potential model of development for the city or area.

Thus Elbasan district economy is supported by three main pillars:

- Agriculture
- Heavy industry
- Trade (transport, services)

### **Agriculture role**

Elbasan district has a surface of 277189 acres, which 73284 acres of agricultural surface from which 63035 acres is arable land, 4761 is fruit plantation, 1528 acres is vineyards and 3968 is olive grove (Elbasan District Council, 2009 pp18) Around 50% of the planted surface is occupied by cereals. The good climate favors several crops as citrus, vegetables, walnut, and chestnut.

After 1991, with the system reforming of that same year and market economy freedom the private sector started to develop and the agricultural structure was profoundly changed with the creation of small private farms. The privatization process made 28796 gained the status of private farmers. As for the animal farming there are 980000 animals from which, 140.000 sheep, 140.300 pigs, 612.500 poultry (Elbasan District Council, 2009) etc.

### **Industry**

Main branches of Industry development are:

- heavy industry
- processing industry
- light food industry

The heavy industry in Elbasan county is represented by Metallurgy factory which is a steel factory owned by Kurum producing 8-20 mm diameter steel for construction purposes. The production is realized through electric furnaces with a daily capacity of 300 ton a day, and is destined to country needs and exports. During 1990-1991 in the factory were employed around 16 000 employees (Elbasan Municipality, 2006 pp52)

Since 1988 Ferrochrome factory uses electric furnaces for melting chrome mineral. The factory was given by concession to Dario Albania Company for 30 years.

Also, part of the industrial zone is a Thermo Central (TEC) which can be reactivated for electricity production.

As for the processing industry some of the factories are:

- Cement factory with a production of 300,000 ton per year, for country needs and export.
- Tobacco factory which has a joint activity with the Greek state.

Elbasan has also several factories which store and process nutrition products.

In Elbasan there is also a cold storage place with a capacity of 3000 tone, which is considered as one of the most modern in the country. Among services there are electricity furniture, water furniture, urban waste removal etc.

The transition to market economy has been accompanied with the reorganization of economy sectors and as a result numerous small private enterprises have been created. In the private sector small business, individual or family business is predominant and during the last 4 years there has been a duplication of small businesses.

Big businesses numbers during 2000-2004 have also shown a slight and slow increase.

Elbasan has established very good commercial relations with Kosovo, Macedonia, Greece, Italy by exporting wood, furniture, clothes, medicinal plants (Elbasan Municipality, 2006 pp53-54)

Thus, from what has been mentioned above Elbasan has great resources as a result of its cultural and education heritage as for example a developed economy, a trade based on tourism, agriculture, abundant natural resources contributing to heavy industry development.

Of great importance for Elbasan economy is the organization and coordination of local government units since they lack capacities for offering services for all citizens. For this purpose more qualified stuff is needed for improving the quality of services offered to citizens. It's obvious the lack of city guides or map, or studies which would be helpful in exploiting the natural assets of Elbasan. Most politics remains local, even as the actors and processes shaping them are increasingly globalized.

Knowing in depth a city with all its issues it is somehow difficult if we take on consideration the continual process of change and transformation which never ends. The complexity consists mainly in the necessity to provide solutions to citizen's needs and requirements which are continuously increasing and also creating sustainable relations with the land, resources, and environment.

The change of political system was accompanied by changes everywhere in Albania, which brought urban transformation with regards to land and space management, danger for the environment itself as a result of the immediate increase of population provoking thus multiple social and economic problems, high rate of unemployment, lack of infrastructure and social services, pollution etc.

Thus, Elbasan city has its own challenges. Environment in Elbasan city is an important issue because of high pollution in the area.

It is well known that the biggest pollution is Metallurgy Factory which dates from 1960 and has harmful consequences on people's health.

Monitoring of air quality at former Metallurgy Factory indicates that air pollution is twice polluted compared to city area. Philters installed in the factory have not improved the situation.

A huge concern for air inhalation quality is the irrespirable dust (PM10), which turns into a hazardous element for people's health. Through wind and other atmospheric agents not only the irrespirable dust is transported, but also reduce visibility and increase dirtiness in buildings; it also is deposited in people's respiratory ways becoming one of the lung cancer causes.

Another polluting factor for Elbasan city is urban waste gathered in a landfill no more than one km away from the city. The landfill does not meet regulation and its requirements.

A very concerning issue becomes the mismanagement of waste, through throwing and burning them in the dumpster area, causing an increase of the smoke and smell for all the residents near the collecting area.

Waste management has potential impacts on human health and ecosystems. There are also concerns about the treatment and disposal capacity of existing facilities, and on the location and social acceptance of new facilities. The economic, environmental and social impact of waste is relevant in regions also because waste disposal is usually managed at the local level.

Urban transport affects considerably air pollution and according to District Environment Agency 18000 vehicle are responsible for high percentage of harmful emission.

The water is in a considerable pollution level. The water pollution underground and in the surface is more evident near the Shkumbin River, where industrial wastes and wastewater are discharged.

In the given context it is necessary the expansion of the green areas.

Other environmental challenges are different phenomena like landslide, erosion and unsanctioned deforestation.

One of the sustainability challenges is the harmonization between economic sectors and environment. Proper sustained efficient usage of the natural resources, cultural resources, educational ones and the creation of domestic and foreign investment opportunities can result in creation of new jobs possibilities, environment tourism promotion; things that Elbasan city is lacking but can benefit of.

The above mentioned can be the economic prosperities foundations of Elbasan, therefore is important the combination and development of some elements under the public- private sectors. There are several mechanisms for co-

coordinating public policies in decentralized contexts and reinforcing capacity at different levels of government. These instruments are more or less binding, flexible and formal. It is important to underline that each “co-ordination mechanism” can in practice help bridge different gaps and one specific challenge may require the combination of several tools, environment, agriculture, tourism, cultural heritages(Charity, 2011), which are very evident in Elbasan district.

Other elements for improvement are: public space management by responding adequately to the citizen's needs and requirements, socio-economic conditions, unemployment rate decreasing, environment, better social services through increased capacities of the local units and/or education system improvement.

Still these objectives are the challenges that the community of Elbasan deals. It is in the citizens greatest interest to have equal and fair access to public services (roads, water and sewage systems), cleaner environment, better health, job opportunities, increased incomes and last but not least a better life.

## References

- Oxford University Press (1987). The Report of the Brundtland Commission, our common future.
- Historia e Elbasanit, January/3/2010 Retrieved from [http://sq.wikipedia.org/wiki/Historia\\_e\\_Elbasanit](http://sq.wikipedia.org/wiki/Historia_e_Elbasanit).
- Lika, Shefki. (2009). Social picture for the region of Elbasan
- Elbasan District Council (2009). Overview of the district of Elbasan
- OECD. (2011) Better Policies to support Eco-innovation, OECD Studies on Environmental Innovation. OECD-Fao (2011-2020). Agricultural Outlook. Retrieved from [http://dx.doi.org/10.1787/agr\\_outlook-2011-en](http://dx.doi.org/10.1787/agr_outlook-2011-en)
- Simon.J.L. (1977). The Economic of Population Growth. Princeton, N.J., Princeton University Press
- Charit.C. (2011). Governance of Public Policies in Decentralized Context. The Multi-level Approach. OECD (2011). Regional Development Working Paper. OECD publishing.
- Retrieved from <http://dx.doi.org/10.1787/5kg883pkxkhc-en> State Census of Albania. (2001)
- <http://www.oecd>  
[library.org/docserver/download/fulltext/0409011ec033.pdf?expires=1332257341&id=id&accname=guest&checksum=DB74325BA7820FD9CADBA5DF971C24A2](http://www.oecd.org/docserver/download/fulltext/0409011ec033.pdf?expires=1332257341&id=id&accname=guest&checksum=DB74325BA7820FD9CADBA5DF971C24A2)
- Municipality of Elbasan. (2006). City of Elbasan Development Strategy. Working together for a better Elbasan
- Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Region.



## Social and Educational Exclusion of Roma in Macedonia with Focus on Roma Children on the Street

**Natasha Bogoevska**

*Doctor of Law, Assistant Professor at the Institute of Social Work and Social Policy,  
Faculty of Philosophy, University of Ss "Cyril and Methodius"*  
[natasa.bogoevska@zf.ukim.edu.mk](mailto:natasa.bogoevska@zf.ukim.edu.mk)

**Svetlana Trbojevik**

*Doctor of Social Work,  
Assistant Professor at the Institute of Social Work and Social Policy, Faculty of Philosophy,  
University of Ss "Cyril and Methodius"*

---

**Abstract:** *The problem of street children/children on the street in the Republic of Macedonia in the past two decades gains wide dimensions first of all as a result of numerous socio-economic changes in Macedonian society. That is a complex and multidimensional problem that has a number of consequences on the entire psychophysical development of children that often manifest asocial behavior. Street children/children on the street do not enjoy the basic rights guaranteed with the basic international documents, namely the United Nation Convention on the Right of the Child. Indeed, they are deprived of those rights that mean meeting of their basic needs such as home, food, play, health care, and education as well as absence of social acceptable norms of behavior, socialization, and culture. Identification of the problem of street children/children on the streets in the Republic of Macedonia imposes the need for systematic treatment through the system of family and social protection. It is identified that the presence of unfavorable conditions and risks to which children are exposed to can be overcome only through coordinated actions of central and local government, mobilization of all resources and network collaboration with nongovernmental and private sector. Several legislative solutions were introduced with the aim to provide number of social services designed primarily for street children and their families. The main goal is to create opportunities that will enable a way out of the close circle of poverty, social exclusion and exposure to various forms of neglect and violence against children, creating conditions for individual development of human capital, which simultaneously provides creative potential for development of society.*

**Key words:** *street children, children on the streets, social protection, family protection.*

---

### Introduction

Roma are traditionally vulnerable ethnic group in the Republic of Macedonia. They are facing with the problem of poverty and social exclusion which is the basis for multiplication of series of other social problems. Namely, Roma are exposed to educational and cultural exclusion, marginalization and discrimination in society as well as a long-term passivity of the state in regards of undertaking in-depth structural measures for overcoming of their situation. This unfavorable social situation of Roma reflects in all aspects of their living.

Especially vulnerable are Roma children that due to the high rate of poverty and social exclusion face with the situation in which their basic needs for a home, food, clothing, health, education, and communal services are neglected. Alarming is the data on their low level of participation in the formal education. This is especially drastic among children on the streets of Roma nationality who are facing with the shortage of parental care and are left on the severity of the street life. These children are also facing threats on the basic right to life, survival and development, the right to nondiscrimination, the right on the child best interest and the right of child's participation.

### 1. Participation of Roma in the demographic structure in Macedonia

The Republic of Macedonia is a society comprised of different ethnic communities with a total population of two million citizens. Dominant is the Macedonian ethnic group (64.18%), Albanians are the second largest ethnic community

(25.17%), than follow Turks (3.85%), Roma (2.66%), and other (State Statistical Office, 2003).<sup>1</sup> The Roma ethnic group has been identified as a fastest growing community, which has grown from 2.20% in 1994 to 2.66% in 2002, indicating a growth of 0.46% for a period of eight years. These official figures have been subject of dispute by the representatives of Roma communities as well as by the NGO sector. Formal representatives of Roma are pointing out that the numbers are not accurate, due to the fact that there is a significant number of unregistered (without country of domain) persons within these communities. According to the Commission of European Communities (2009) in Macedonia there are between 3000 to 5000 unregistered persons, most of them of Roma background. These persons are lacking personal documents, such as birth certificates and medical insurance or employment cards, which are necessary to benefit from social insurance, healthcare and other social services. Despite the attempt mostly of the NGO sector to obtain necessary documents for registration of citizens, the problem of identification of accurate number of citizens remains. There are also a number of Roma refugees (approximately 2,500) that were not reintegrated after the Kosovo crisis and kept the refugee status in Macedonia (Trbojevik, Bogoevska, 2011).

There is an uneven distribution of population in the Republic of Macedonia with more than one third of its citizens living in the capital city Skopje. This, also, applies to distribution of ethnic Roma where 43.6% of all Roma live in Skopje. Almost (1/4) or (24.8%) of them live in the municipality of Skopje named Shuto Orizari. This municipality is the largest settlement of Roma in Europe. "Roma in Shuto Orizari have achieved certain minority rights following their compact (some say segregated) residence, most notably in a higher degree of political participation in local affairs" (Open Society Institute, 2008). The uniqueness of this community is in the fact that it is the only Roma governed community in Europe. Other communities with high concentration of Roma are: Prilep, Kumanovo, Bitola, Gostivar, Vinica, Debar, Kichevo, Kochani, Tetovo, and Shtip (State Statistical Office, 2003). Roma communities have highest concentration of young population; most of them practice Islam and are bilingual. Roma students attend schools in Macedonian language.

## 2. Poverty and social exclusion of Roma

Roma are an ethnic group that has traditionally been exposed to the highest level of poverty and social exclusion. All relevant research and official data point out to Roma community as materially deprived and stripped of basic human rights for home, food, clothing, education, health, and communal services.

The position of Roma in Macedonian society has varied throughout history. It probably improved most in the former Yugoslavia, when many Roma were integrated into society as unskilled laborers. Unfortunately, few took advantage of the era of free education in order to improve their position in society. The transitional period cast many to the outskirts of society as superfluous remnants of the unskilled labor force.

The activity rate among Roma is 50.4%, whereas the unemployment rate among Roma is 78.5 % and they are represented with only 0.42% in the structure of the public sector. However, the participation of Roma ethnic communities in the informal economy is quite high, indicating a limited employment opportunities in public administration (Gerovska-Mitev et al., 2007).

Poverty among Roma is higher than among other groups and is based on number of accumulated factors that are incorporated in the history, tradition and their permanent social exclusion. Roma have the lowest incomes and the highest mortality rate. An estimated two thirds or 63% of Roma households live below the poverty line. (Commission of the European Communities, 2009:23)

On average, Roma in the Republic of Macedonia have younger population compared to the average age of population. Owing to the different fertility and mortality rate compared to the national average, there is a higher proportion of Roma children in their groups, and a lower proportion of older persons. The reproductive rate at Roma is twice as big as the national average but also the mortality rate at children is twice higher than other ethnic groups. The life expectancy is shorter and Roma are more prone to chronic illness (Ministry of labour and social policy, 2005).

The living conditions are below the standard level. The vast number of Roma (95%) is mostly concentrated in poorer and suburban areas. In the area of housing, Roma are mostly facing the problems of unclear ownership status of

---

<sup>1</sup> The official data of the demographic structure of citizens is outdated due to the unsuccessful implementation of a census of population in October, 2011.

property, located outside of urbanized planning zones, lacking basic infrastructure, and lacking access to services (Lakinska, 2000).

Roma in Macedonia are facing with conditions of direct or indirect discrimination and marginalization. This situation reflects in numerous areas due to which Roma are not in position to fully integrate in the society. The police do not respond to fights against Roma, some local policemen are constantly harassing them but there is no effect from reporting the policemen, cases have been reported of prohibited access to night clubs, swimming pools and restaurants, Roma are restrain from court procedures (Ministry of labour and social policy, 2005)<sup>2</sup>.

### 3. Educational exclusion of Roma children

The high rate of students who vacate the process of regular education is a serious problem in Macedonia. The official data from the State Bureau of Statistics shows that not all children are included in the regular educational process i.e. in 2008/2009 only 91% of the total number of school age children enrolled in school. This fact points out that there is insufficient representation of children from vulnerable categories (children challenged with developmental problems, children from socially endangered families, Roma children, children from distanced rural settlements, etc.) in educational processes (State Statistical Office, 2008).

The statistical figures about the level of education among Roma have been traditionally low. According to the census data of 2002, there are 23% of Roma without education, 28.6% with incomplete primary school education, 37.4% primary school, 9.7% secondary school, 0.2% high school and 0.2% higher school, faculty or academy (State Statistical Office, 2003). In 2002, over half or 51.8 % of the adult Roma population had either no education at all or had never completed even elementary education, as compared to only 18.0 % for the total population. Roma children have a lower rate of literacy and have a low rate of inclusion, attendance, and enrolment in primary education (61%), and secondary education (17%) (Commission of the European Communities, 2009).

Also, significant is the rate of exclusion of Roma children from participation in extracurricular activities which is due lack of material resources. Namely, participation in extracurricular activities presumes additional expenses for which their parents do not have sufficient financial resources.

Connecting the problem of educational exclusion with a certain ethnic group indicates existence of social exclusion based on social, religious, cultural, and gender background. The relevant research locate the reasons for this situation in the specific characteristics of the Roma family, insufficient inclusion in elementary school and long-term passivity of the state in undertaking active measures for overcoming this situation<sup>3</sup>.

#### 3.1. Reasons generated in the family

Various aspects of live of Roma family have influences on the level of school attendance and success of children in elementary school. The most important reasons connected to family, limiting children in successful inclusion in the educational processes, are low socioeconomic status, tradition, lifestyle and communications. The problem of educational exclusion of Roma children is a result of a prevalent presence of certain social problems such as disturbed family relations and neglect of children, the phenomenon of underage marriages and large number of children in the families, illiteracy of parents and no appreciation for the importance of the education in the Roma family as well as low cultural level.

Special attention deserves the fact that Roma children to a large extend participate in provision of existence for the family by work engagements such as joining their parents in the seasonal work which forces them to travel from one to another place, collecting the old iron, plastics and other materials and begging.

---

<sup>2</sup> For more information see: Trbojevik, Bogoevska (2011), Migration, social exclusion and identity issues of Macedonian Roma, in: ed. Kristina Toplak Two Homelands, Ljubljana, Slovenian Migration Institute

<sup>3</sup> For purposes of this paper we will present the data obtained from qualitative research conducted in 2010 which was conducted by the authors of the text. The research employed an explorative method using the following instruments: experts interview with the relevant local stake holders, semi structured interview with teachers and professionals from school social services and Roma educative centres and focus groups discussions with parents, local leaders and children. The sample included 240 research unites (For more see Donevska et al., 2010).

All of these undermine the socialization function that family has on children. The lack of parental assistance and support, among the large number of Roma children, results in the decreased motivation, absence of positive goals and negative friendships.

### *3.2. Reasons generated at educational process*

Roma children are facing difficulties at school as a result of certain didactical problems, inappropriate and inflexible educational process and low level of involvement in preschool education.

Didactical problems that are identified as the most important reason for the occurrence of educational problems in children are related to the scope, difficultness and content of the teaching material. Also, having Macedonian as a teaching language, a large number of children show lack of language proficiency, causing them problems to follow the content of the curricula. It is not the case of an absolute ignorance of the language but problem of a limited font of words and the inability to understand and use abstract and complex language constructs that are immanent for overcoming of the teaching content in higher years of education. Additional problems which are emerging as a result of poverty are lack of learning materials, clothing, footwear and meals.

### *3.3. Reasons generated in the system's structure*

Structural problems of Roma in Macedonian society are long-term discrimination of Roma, ghettoization, social, political and cultural exclusion in society as well as enduring passivity of the state in regard of undertaking measures for overcoming the situation. This group stresses factors located in the state such as: the limited access to institutions and exercise of rights, lack of systems networking, unsustainable programs as well as a lack of positive examples for employment of educated Roma.

An important systemic problem is caused by the legal provision which foresees all students from first to fifth grade elementary school to be enrolled in the higher grade without the possibility of failure. That creates a situation in which students enrolled at the higher grades miss the elementary knowledge of reading, writing and calculus, necessary for regular attendance of classes.

Also, often students enroll at older age in the educational process and that is the reason why they do not fit physically and psychologically in the teaching group. It is not a rare case to enroll of these children in institutions for the grown ups or in special and combined classrooms.

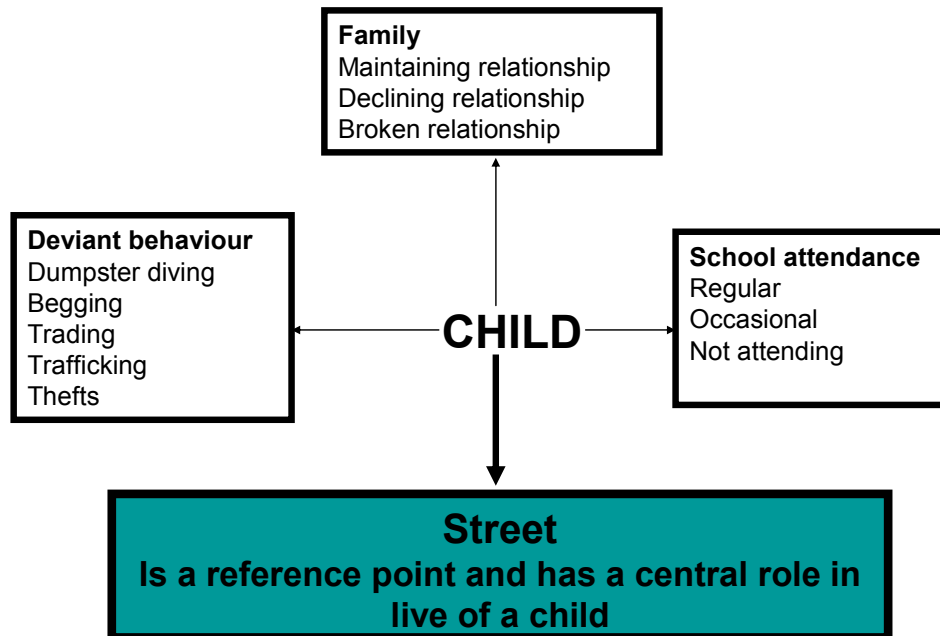
## **4. Roma and the problem of children on the street**

One of the major social problems of the Roma community represents the phenomenon of children on the street and the inclusion of children in begging and other deviant phenomena. Roma children on the street are most ferociously deprived of basic rights, which represent their basic needs for food, home, security, education and play. They are often inappropriately dressed for the weather conditions; are not being submitted to regular medical examination; and are being subject to the various abuses and exploitation.

The phenomenon of street children encompasses a number of social problems that are imposed on Roma family. In essence it points out the disturbed functions and relations of three key factors:

- (1) Family, it points out the existence of family dysfunction. Generally the relations among children and parents are manifested in two forms: on one hand strong family ties (the child inherits the family model of living of the street, is forced and controlled by the family) and on the other when family ties are weak or broken (the child is left on its own and is lacking parental care).
- (2) The impact of school as second most important socializing factor is minimized. Namely, most of the children are not attend or irregularly attend school.
- (3) Common to all of them is practices that are socially unaccepted and unadjusted to their age (dumpster diving, begging, trading, thefts, and trafficking).

The street is the reference point to all of them. Almost all Roma children in Macedonia are children on the street and street is a place where they spent most of their time<sup>4</sup>.



#### 4.1. Scope and characteristic of the phenomenon Roma children on the street in the Republic of Macedonia

The Ministry of Labour and Social Policy estimates that there are about 1,000 street children in Macedonia. Of these, 95% are Roma suggesting that the group has a dominant share in the problem of street children (Ombudsman, 2011). This problem has urban dimensions, concentrating mostly in the country's capital of Skopje as well as in other bigger cities such as Tetovo, Bitola, Kumanovo, Shtip, Strumica, Ohrid and Gostivar. Annually there are around 500 children on the streets rotating on the territory of city of Skopje.

The number of recorded street children is 719, indicating that more than a quarter of children are not registered in the system of protection and support. Namely, only nine centers for social work in the Republic of Macedonia (out of 30 that cover the whole territory of the state) recorded presence of street children. Six centers reported street children who beg but come from other municipalities. Typically, these are children that travel together with their parents to other cities during the holiday season, market days or during summer period in places that have larger populations living in the diaspora.

Out of the registered street children, about 75% are engaged in begging. A significant number of children, about 9.3% are recorded as juvenile delinquents. Others deal with cleaning windshield glass at intersections, selling various commodities and other street work.

The recorded street children have parents but coercion is seen as one of the main reasons for labor exploitation and begging. The majority of children were instructed by their parents to beg in order to generate incomes for their families.

A particular problem is the existence of so-called "phantom children." Namely, about 37% of these children do not have birth certificates which limit them in the exercise of their rights. As a result, problems arise in enrollment of school,

<sup>4</sup> This distinction is important since "children on the street" have families and homes to go to at night, whereas "street children" live on the streets and probably lack parental, emotional and psychological support normally found in parenting situations.

utilization of health care, and utilization of social protection rights. Only 17% of the total number of recorded street children is involved in the educational process. A number of street children have trials of drug and other psychotropic substances (glue, bronze, etc.) abuse.

#### 4.2. Characteristics of children beneficiaries of services in daycare centers for street children

Protection of children on the street in the Republic of Macedonia has been realized through the system of social protection. Centres for social work are in charge of the undertaken institutional measures for:

- Family protection. There are no specific provisions for children on the streets within the Family Law apart from the general provisions for parental obligations as well as supervision of parental obligations and stripping of parental rights;
- Social protection. Social prevention, non residual and residual protection, financial family benefits;
- Child protection. Child benefits;
- Juvenile justice. Defining children at risk and juvenile perpetrators, procedures for undertaking measures and sanctions.

In practice the most common form of social protection of children on the streets is accommodation and care in the daycare centers. There are four daycare centers for children on the street. Three of the daycare centers are located in Skopje and one in Bitola. Some of them are result of the partnership between the state and the NGO sector. Daycare centers provide meals and hygiene, basic educational services (literacy), counseling for children and their families, cultural and recreational activities.

Services in the daycare centers (May 2010-May 2011) have been used by a total of 235 street children which represents one third of total number of registered street children. Analysis of the number and characteristics of users indicates that most of them (219 children) used the benefits of Skopje's daycare centers. All children except one were children of Roma nationality. Most of beneficiary children originate from urban areas and are not fully involved in the educational process, come from poor and dysfunctional families. Daycare centers protect children at risk aged 4-16 years who have a lack of parental care. All children show some manifestations of asocial behavior such as begging, vagabondage, and the smaller number are involved in criminal activities. (See the Table 1.)

**Table no. 1:** Characteristics of children beneficiaries of Day-care centres in 2010/2011

	Numb. of children	Roma	Age	Urban/rural	Education	Family	Practices
<b>Day-care centers Skopje (Kisela Voda and Autocomanda)</b>	<b>129</b>	<b>128</b>	<b>4-16</b>	<b>94% urban</b>	Not fully included in educational processes	Poor and dysfunctional families lack parental care exposed to different risks	Manifesting asocial behavior such as begging, wondering, and last year 4 have convicted criminal acts (90% of children on the streets in Skopje)
<b>Day-care Shuto Orizari</b>	<b>90</b>	<b>90</b>	<b>5-15</b>	<b>Urban</b>	Not fully included in educational processes	Poor and dysfunctional families lack parental care exposed to different risks	Manifest asocial behavior such as begging, wondering etc.
<b>Day-care centre in Bitola</b>	<b>16</b>	<b>16</b>	<b>4-14</b>	<b>Urban</b>	Not fully included in educational processes	Poor and dysfunctional families lack parental care exposed to different risks	Manifest asocial behavior such as begging, wondering etc.

(Source: Institute for social advancement, 2011)

#### 4.3. Weaknesses of day-care protection of children on the street

The protection of children in day care centers shows some weaknesses in its practical implementation. They can be summarized to the following key weaknesses:

- Children are not attending regularly the day-care centers, that diminishes the effects of the social-protection measures implemented in the programs
- Lack of developmental and educational programs and planned interventions, in accordance with the maturity and potentials of children.
- Undeveloped mechanisms for stimulating individual and group work with parents and children
- Insufficient infrastructural and human capacities of Daycare Centers (some of them are inappropriately equipped with staff and do not have appropriate space, part of the staff is not fully employed that decreases the motivation).
- Insufficient implementation of “supervision of exercising parental right” as standard procedure in the work with beneficiaries.
- Insufficient individual and group work with parents for adoption of positive model of behavior that will provide efficient integration in the social-educational and cultural setting
- Lack of community-based services for children on the street

The effects of application of this measure can be accomplished only if a holistic multisectoral approach is employed and it this encompasses work with families. This is partly recognized by the central government due to which: (1) in 2011, on the territory of Skopje, a 24 hour transit center for children in social risk was open with the goal to strengthen capacities for protection and care of street children. (2) a strengthening of professional potentials in the centers for social work is conducted, this will enable active and continuous supervision on parental rights and will take measures against parents who abuse their children (parents of 10 street children have been deprived of their parental rights).

#### 5. Social and educational inclusion measures for Roma in Macedonia

Roma are identified as a most vulnerable ethnic group in the Republic of Macedonia. In effort to promote their societal position the Government and the NGO sector undertake number of initiatives. The main goal of the strategic and operative activities was to develop the capacities of Roma communities, to utilize of human capital and to reduce social exclusion.

The Decade for Roma inclusion (2005-2015) and the National Strategy for Roma are the main strategic documents that focus on Roma inclusion in Macedonia. Their main goals are focused on empowerment and integration of Roma population in the social and economical life, decrease of poverty and marginalization of Roma population as well as continuous development of Roma communities<sup>5</sup>.

NGO sector played crucial role in recognizing the problem of Roma exclusion. They implemented programs and assist in developing spin-off organizations focusing on Roma in the area of education, health, media, housing and civil society. In that context FOSIM was leader in initiation of programs for developing and strengthening human and social capital of Roma population. Their work with the Roma is based on the strategic approach focused on developing programs, establishing the structure, staffing for independent work and ensuring sustainability.

The process of educational inclusion Roma was strongly supported by the Roma Education Centers. The main activity of Roma educational centers is to provide assistance and support in learning and homework. Despite that there is an effort to develop children's abilities and social skills.

---

<sup>5</sup> Programs realized by the Ministry of Education and Science targeting Roma are focusing on: scholarships for continuing education of the Roma children, organizing courses for the teachers, training sessions aimed at preventing a large portion of the children leaving the school at early age, organizing after-school classes. Programs realized by the Ministry of Labor and Social Policy focus on: opening of a daily centers for children on the street, supporting activities of some NGO's working with Roma children, helping in securing free educational materials, provision of free meals at schools, and provision of social benefits.

The activities of the state and the NGO sector for increasing awareness for the importance of education, support of the educational processes as well as provision of financial support in a form of scholarships contributed to gradual increase of the number of Roma enrolled on all level of education.

The data shows that the Project for inclusion of Roma children in preschool institutions in the period of 2006-2011 covered 1650 Roma children of whom 84% have enrolled in primary education. Also, according to other relevant data there were 1.3% of Roma students who have completed primary education in 1997/1998, this number increased in 2002/2003 to 2.1%, and in 2007/2008 increased to 2.5%. There is evident increase in the number Roma who have completed secondary education from 0.4 percent in 1997/1998, to 0.6% in school year 2002/2003 and 1.2 % in 2007/2008.

This trend of inclusion of Roma children in the processes of education is also supported with the Government measures for conditional cash transfers for children, students from socially disadvantaged families. The Government has designated \$ 180 million annually for this measure. Currently, from around 1,000 beneficiaries of conditional cash transfers 10% are the Roma.

Also, the number of Roma who attend higher education is increasing. The Ministry of Education and Science in the context of the implementation of measures envisaged in the Decade of Roma issues 600 scholarships for Roma students (<http://vlada.mk/node/3108>).

## Conclusion

Roma are socially most deprived ethnic group in Macedonia. Frequently, due to experienced discrimination in the society, they have been exposed to ghettoization and harassment from dominant groups and local authorities. Unfortunately, social perception about the problems associated with Roma are imposing a distorted viewpoint, locating the reasons for the unfavorable situation in the Roma community and their subculture rather than the society (Donevska et al., 2010). On contrary Roma should be recognized as long-standing ethnic minorities with a history of discrimination (Boswell, 2005).

Despite the significant progress, there is an evident need to evaluate the effects of the implemented programs. Identification of strengths and weaknesses of the implemented programs will contribute to their further improvement and adaptation to the needs of the Roma community. The key challenges still remain:

- Decrease of poverty and social exclusion at Roma children is of special importance because poverty is identified as a key factor for transgenerational reproduction of poverty and ending the circle at certain group of population.
- Sarah Thomas de Benítez and collaborators consider that preventing and reducing the violence that children are forced to experience will eliminate significant factors pushing them onto the streets and will improve their quality of life. According to them to put the blame on poverty is a simplistic approach to a complex problem. Very often the root causes are violence in the home and community; not just poverty. It is important that, as individuals and organisations taking responsibility for the care and wellbeing of children, we learn to listen and respond to their problems and needs. By responding to their needs we can help to create a safe and positive environment that allows children to learn and grow (Thomas de Benítez S., 2007).
- Developing social protection measures specifically focused toward help and assistance of children that are abusing drugs: on one hand there is an evident increase in the number of children on the street abusing drugs (sniffing, bronze, glue, heavy drugs) and on other hand there are no Centers for drug abuse for persons under 16 years old.

## References

- Gerovska-Mitev, M., et al. (2007). *"Policy Priorities for Social Inclusion in Macedonia"*. Skopje: Fridrich Ebert Stiftung
- Donevska, M. et al. (2010), Research for establishing the reasons for Roma children's irregular attendance of elementary education, Skopje: FOSI Macedonia
- Gerovska-Mitev, M., et al. (2007). *"Policy Priorities for Social Inclusion in Macedonia"*. Skopje: Fridrich Ebert Stiftung
- Lakinska, D. (2006) Procena na politikite, sostojbite i programite za decata na ulica, Skopje: UNICEF.
- Ministry of Labour and Social Policy (2005), National Strategy for Roma, Skopje: Ministry of Labour and Social Policy
- Ministerstvo za trud i socijalna politika (2010), Programa za usloven paricen nadomestok za sredno obrazovanie za ucebnata 2010/2011, Skopje: Ministerstvotrud i socijalna politika
- Open Society Institute (2008). *"Equal Access to Quality Education for Roma" Vol. 2, Monitoring report 2007*, Budapest, Open Society Institute.
- State Statistical Office (2003). *Census Data*, Book XIII, Skopje, State Statistical Office.



- State Statistical Office. Statistical Review 2.4.9.02/614 (2008), Public institutions for protection of children- kindergartens
- Thomas de Benítez S. (2007), State of the World's Street Children: Violence, London: Consortium for Street Children (UK)
- Trbojevik, S., Bogoevska, N. (2011), Migration, Social Exclusion and Identity Issues of Macedonian Roma, In: Journal "Dve Domovini" (Two Homelands), Ljubljana: Institut za slovensko izseljenstvo in migracije ZRC SAZU. No. 34. 2011.
- Zavod za socijalni dejnosti ( 2011), Analiza za rabotata na dnevnite centri za deca na ulica vo Republika Makedonija, Skopje: Zavod za socijalni dejnosti
- Zakon za socijalna zastita (Sl. Vesnik na RM br. 79/2009).
- Zakon za semejstvo (Sl. Vesnik na RM br. 80/92, 38/04).
- Zakon za zastita na decata (Sl. Vesnik na RM br. 98/2000).
- Zakon za maloletnicka pravda (Sl. Vesnik na RM br. 87/2007).
- <http://vlada.mk/node/3108>
- <http://ombudsman.mk/ombudsman/upload/documents/Informacija-Ulicni%20deca%202011-mk.pdf>

## Media and Environment: A Case Study at Portuguese Television

Joana Padrão

PhD Student

Department of Theory of Education, History of Education and Social Pedagogy.

Faculty of Science Education. University of Santiago de Compostela. Spain.

E-mail: joanapadrao@hotmail.com

---

**Abstract:** Mass media play a determinant role in the dissemination and construction of social threats and risks. Studies have shown that public learns a lot of things about science through consuming mass media news. The present paper examines media discourse about the environmental risk and the importance of the environment communication. In order to perform this analysis we have selected the environmental programs on portuguese television broadcasted between january 2010 and december 2011. This sample of programs has been recorded and viewed in order to select the news we wanted to analysis. We have selected all the pieces of news that either directly relate to any environmental problem (pollution, climate change, global warming...) or refer in any other way to the environment and the nature (about the weather, earthquakes, hurricanes or other meteorological event). Qualitative techniques of analysis have been applied, in order to categorize the information, looking for common and divergent discourses at some dimensions, such as: causes; consequences; possible solutions; and discourses. The media have to enhance environmental science communication, since within the majority of portuguese public sphere this is the only way of environmental knowledge.

**Keywords:** media, television, environment, communication

---

### 1. Introduction

The present paper examines media discourse about the environmental risk and the importance of the environment communication on environmental programs of portuguese television broadcasted between january 2010 and december 2011.

#### 1.1 Environmental crisis

Nowadays, global environmental change can be attributed to anthropogenic activities since human activity consumes Earth's resources and exhausts on the planet's capability to assimilate/absorb wastes. Global environmental change includes changes in terrestrial and aquatic ecosystems and the magnitude and nature of these impacts are yet unknown. In fact, most of environmental issues have global significance, whereas environmental degradation affects all mankind on a global scale. Human dimensions of global environmental change must be more than ever on the focus of science and policy makers alike (Reckemmer and von Falkenhayn, 2009).

Given that natural resources are not inexhaustible, it is imperative to preserve them and in this sense reducing the environmental impact should be the concern of the whole society (Mucelin and Bellini, 2008).

The culture of a community characterizes the form of use of the environment, customs and habits of consumption, generating intense assaults on the environment (Mucelin and Bellini, 2008) and as more resources are consumed it's clear that the link between economic growth and adverse environmental impacts are a key to sustainable development (Fraga, Dinis and Mota, 2005).

Sustainable development was defined in a 1987 report named "Our Common Future" as "development that meets the needs of the present without compromising the ability of future generations to meet their own needs" (Roseiro and Takayanagui, 2004).

#### 1.2 Social agent's responsibility

Given the magnitude of today's environmental problems, environmental responsibility must have a play role on political, economic, and social dimensions of society, thus including formal or informal, private or public, centralized or decentralized institutions (King and Toffel, 2007).

Only recently, environmental issues have emerged as a new dimension on the political agenda of advanced industrial democracies (Rohrschneider, 1988).

According to Schmidt (2003), environmental policies in Portugal clashed with three serious problems that explain their frustrating results:

- The later collapse of the rural society and the abrupt and tumultuous way as ran
- The lag compared with the international procedure
- An unfavorable to the installation of environmental concern in the country's public cultures.

As consumers, we can play a key role in reducing the adverse impacts on the environment (Silva, 2006), since the solution lies in environmental perception (Mucelin and Bellini, 2008) and the implementation of environmental education and an effective environmental communication are seen as a way to achieve a responsible participation by all citizens (Martinho and Gonçalves, 2000). Thus the awareness towards the protection and conservation should be developed with in each individual.

The ultimate goal of environmental education whether it is formal or non-formal is to create awareness among the citizens of a country. In this sense environmental education needs to share information to more participatory and creative ways of learning.

In Portugal, in order to create a society that has knowledge, attitude, skill, motivation and commitment towards the solution of current and future environmental problems, the government should include environmental education in the formal education, integrating it into the ongoing curricula of schools. Children must have environmental awareness on a multi-disciplinary basis and seek to improve their most basic skills of struggling for a sustainable society.

It is important to highlight that many environmental organizations, national and international non-governmental organizations (NGOs), are important partners in creating environmental awareness since disseminate information, organize community initiatives and practice non-formal adult education. Citizens should work together in influencing policy at both national and international levels in order to seek environmental protection (UNESCO, 1999).

### *1.3 Media have a play role in environmental education*

The international community took decisive steps to what today might be called the globalization of environmental problems, when the United Nations Conference on environment and development took place on Rio de Janeiro in 1992. Since then, the press began to report more about the environment, with news and articles of the most varied subjects within environmental area published in a great variety of the media. The environment is the subject of constant research ever since.

The media contributes to create a kind of minimum basis of common understanding, shared, of social reality, as it offers behavioral models, definition of social roles, and actions of people on society, assuming not only the social life is constituted by and through a continuous and multifaceted process of communication but also that people and social groups have the power to encode and decode the emerging meanings of this process.

According to Dessai *et al.* (2001), several studies have shown that, in New Zealand, the media were the sole source of information on climate change for most of the citizens, and in the United States, the media were also identified as the primary sources of climate change knowledge. Holt and Barkemeyer (2012) note how the media has played a key role in setting climate change discourse and setting the agenda of how such discourse reaches the public.

The media plays a key role in the development of public discourse on environmental issues that shapes global citizenship: acting as a civic forum, a mobilizing agent, and a watchdog, by heightening public attention to issues (Holt and Barkemeyer, 2012).

Communication is increasingly emerging as a protagonist in the process of environmental awareness, especially the two levels of analysis:

- perceptions about the environment are to established by cultural contexts, views, lifestyles and value judgments that are acquired through processes of communication
- criteria and options for decisions on environmental issues are influenced by public discourse and communication alternatives.

The media can communicate environmental citizenship, by creating campaigns to disseminate the importance of the environment, disseminating values of good environmental citizenship, raising awareness of dangers that come from the destruction of nature, coercing people that act badly, sensitizing all generations to respect the environment. Therefore the media can be considered as an agent capable of participating, on the one hand, in shaping, in successive reconstruction and in change of social reality and, on the other hand, in building on individual action.

It has been noted that the media play a crucial role in creating environmental awareness through the broadcast channels and print media. Kapoor (2011) emphasizes the potential of mass media in influencing knowledge gain, public

attitude and behavior and that mass media plays a key role in creating environmental awareness, whereas radio and television are important tools for dissemination of quick information.

Environmental education is considered by UNEP/UNESCO/OECD Paris cited in UNESCO (1999), "a permanent process in which individuals gain awareness of their environment and acquire the knowledge, values, skills, experiences, and also the determination which will enable them to act individually and collectively to solve present and future environmental problems".

#### 1.4 Television

It is widely acknowledged that the media can broaden environmental debate among the public and promote their intervention in environmental management. Environmental communication is present today in the information space and advertising. In fact, effective communication of an environmental message can determine the fate of an environmental campaign, showing us the importance of advertising in society, nowadays, by using information structures for the representation of the object in people's minds.

According to Gurses and Yuksel (2009) the features that make television exceptional in environmental education are, among others: familiar media for everyone, connects motion and movement in one setting, makes the complicated and abstract concepts explicable by the way of visual simulation, has effectiveness in presenting the unknown and new environments, has an option of content repetition, can summarize the issues at hand, has effectiveness in presentation.

Same authors say that eventually television is one of the most important electronic means that can be utilized in mass environmental education (Gurses and Yuksel, 2009).

The first appearance of television in Portugal arises in September 1956, in Feira Popular de Lisboa, where is invaded by a mob with enormous expectations to witness the manufacture of the first images (Schmidt, 2003).

Television appearance in Portugal has fulfilled information and training key role of environment awareness, as the public have little access to other sources. It was the first, if not the only, way of environmental knowledge, because environmental culture, was absent from school and other institutions. Television helped in building environmental awareness, contributing to an expansion of public opinion on environmental issues, distributing knowledge, setting up much of what the public perceives of environment (Schmidt, 2003).

Statistics show that, overall, television covers the subjects when they become social and awarding relevant in other countries and with repercussions in Portugal, whether the purpose is either energy crisis, either pollution or globalization of environmental problems with major disasters. A surprising data is the almost total media inattention to the environment in the early years after Portugal revolution in 1974, indicating that the new democratic public space and the construction of civil society did not included environmental problems. Environment theme took place in the portuguese media only since 1980 (Schmidt, 2003).

In Portugal, private televisions brought great media projection to the entire environmental theme, changing the way environmental problems were analyzed and catapulting them to the stage of public and political concerns (Schmidt, 2003).

If, on the one hand, public television has disregarded environmental problems, on the other hand, has made a decisive contribution to the understanding of public opinion on the environment. So, one might say, the media is, at the same time, developer and inhibitor of the development of public space which in itself contains (Schmidt, 2003).

Nowadays the importance of raising awareness of environmental issues is increasing. With the appearance of portuguese private channels in the 90s the importance to the environmental theme had increased.

## 2. Methods

This research was dual.

First, a review of television programs that either directly relate to any environmental problem or refer in any other way to the environment and the nature, broadcasted between january 2010 and december 2011 on portuguese television, particularly on public channels: RTP1 and RTP2.

Second, a qualitative analysis has been applied, in order to categorize the information, looking for common and divergent discourses at some dimensions.

### 3. Assay

#### 3.1 Sample (the corpus)

The *corpus* of this research consisted on the collection of four environmental programs broadcasted on public portuguese television (with biggest and most balanced national coverage) in the first week of each month between january 2010 and december 2011:

- "Biosfera"
- "Sociedade Civil – Energias Renováveis"
- "Desafio Verde"
- "Bom Dia Portugal – Minuto Verde"

The analysis and classification of the programs was made from texts taken from the programs, noting the following format indicators: program start date, duration, aim, schedule, target audience, speech function, and inferences According to the Theory of Knowledge.

Summarizing, in data collection we have chosen the following criteria:

- environmental programs broadcasted on public portuguese television
- period from january 2010 and december 2011
- observed categories (based on Grounded Theory (Glaser and Strauss, 1967)): sustainable development, recycling and waste separation, air pollution, water saving, energy saving, noise pollution.

#### 3.2 Analysis

##### "Biosfera" – RTP2 channel (Figure 1)

**Aim** – show the steps to take to maintain biodiversity, how to have greener attitudes, how to better manage energy consumption and which future trends for the environment

**Duration** – 20 minutes

**Start Date** – 2007

**Schedule** – Tuesday - 7 PM

**Target Audience** – adults

**Speech Functions** – the reporting function but without ignoring the persuasive

**Inferences according to the Theory of Knowledge** – this program increases social differences, the extent to which the public is directed, already with a certain level of knowledge, acquired more gradually

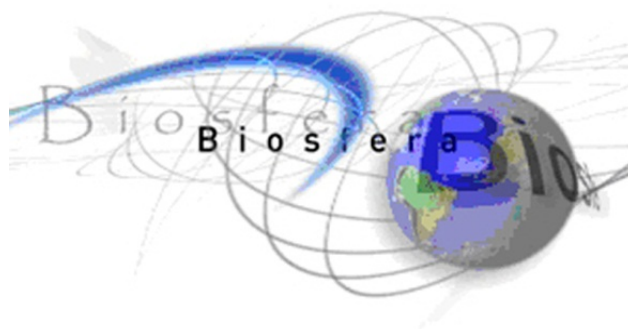


Figure 1 – Image of the "Biosfera" Program

##### "Sociedade Civil – Energias Renováveis" – RTP2 channel (Figure 2)

**Aim** – bringing people who are dedicated to improving our lives, people with extensive experience in solving problems, people over 60 organizations mobilized for solutions in several areas

**Duration** – 90 minutes

**Start Date** – 2008

**Schedule** – Monday to Friday – 2 PM

**Target Audience** – adults and includes deaf-mute

**Speech Functions** – the reporting function, but without ignoring the persuasive

**Inferences according to the Theory of Knowledge** – this program increases social differences, the extent to which the public is directed, already with a certain level of knowledge, acquired more gradually



**Figure 1** – Image of the “Sociedade Civil” Program

**“Desafio Verde” – RTP2 channel (Figure 3)**

**Aim** – The Desafio Verde team enters consumer home looking for ecological attacks, transforms them into a clean and green paradise. Throughout this process, the biggest challenge of all is of educating families and spectators

**Duration** – 45 minutes

**Start Date** – 2009

**Schedule** – Saturday - 9 PM

**Target Audience** – all people

**Speech Functions** – the reporting function but without ignoring the persuasive

**Inferences according to the Theory of Knowledge** – this program doesn't promote the social differences since is directed to a large public and makes use of a simple speech



**Figure 3** – Image of the “Desafio Verde” Program

**“Bom Dia Portugal – Minuto Verde” – RTP1 channel (Figure 4)**

**Aim** – this program is a partnership with Quercus (portuguese NGO) that advise citizen to improve environment awareness

**Duration** – 1 minute

**Start Date** – 2006

**Schedule** – Monday to Friday – repeated three times on the same day (8 AM, 9 AM, 10 AM)

**Target Audience** – adults

**Speech Functions** – the speeches are eminently informative but are also based on a persuasive purpose, sometimes resorting to advertising for certain products that help sponsor the mission of a healthy world

**Inferences according to the Theory of Knowledge** – this program increases social differences; the extent to which the public is directed, already with a certain level of knowledge, acquired more gradually.



**Figure 4** – Image of the “Minuto Verde” Program

#### 4. Results and Discussion

These are the first results of a project which is yet taking place.

##### 4.1 Characterization of the sample

In a universe of two public television stations were screened four programs during the period in question. According to Graphic nº1, one can observe that the most frequent themes were: sustainable development, air pollution, recycling and waste separation, water saving, energy saving, and noise pollution.

##### 4.2 An exploratory study

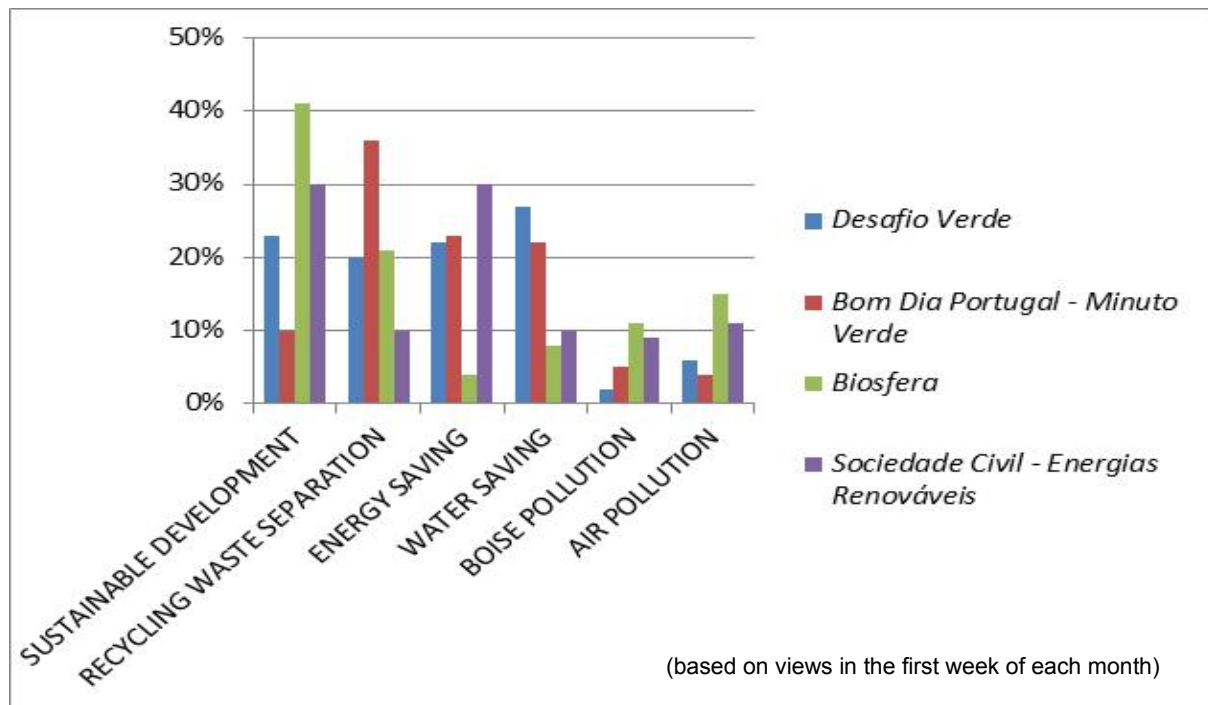
This study was based on Grounded Theory (Glaser and Strauss, 1967). For selected elements, we proceeded to a content analysis. Each text was analyzed individually and classified according to the selected categories, which were chosen by the frequency of those themes in the programs in order to considerer the most relevant themes.. The main classified categories were according to information which gives about environmental negative impacts.

For the category **sustainable development** we considered the subcategories: "sustainable", "climate changes"; for the category **recycling and waste separation** we considered the subcategories: "waste" "pollution" "recycle"; for the category **air pollution** we considered the subcategories: "air pollution", "ozone levels"; for the category **water saving** we considered the subcategories: "drought", "water pollution", "water saving"; for the category **energy saving** we considered the subcategories: "alternative energy", "oil", "saving lamps"; for the category **noise pollution** we considered the subcategories: "noise".

In addition to the items mentioned above, this study allowed us to account for some emerging categories such as: protection feeling towards the environment, increased care towards the environment, and the need for environment education and for environment communication.

The following graphic (Graphic nº 1) illustrates some of the specific issues on which there is significant overlap and potential for the collaborative application of environmental communication:





Graphic 1: Categories

## 5. Conclusion

In conclusion, it can be said that there is urgent need for effective communication strategies to create environmental awareness among citizens. Thus, role of the media, especially television, in science communication is very crucial to bridge the gap between science and society since there are inherent differences in language, in both lexicon and usage (Boykoff and Rajan (2007)). In order to achieve holistic environmental education, we need to focus on environmental science communication and consider that the media has become the most common source of scientific information for the general public. In this sense, more efforts have to be done in order to conceptualize and produce more television programs of environment protection (Kapoor, 2011).

Somehow, the programs on environmental issues on portuguese television have been aimed mainly to adults and its discursive approach has not been the most effective. No wonder we are, for example, one of the countries of the European Union with one of the lowest rates of recycling of municipal solid waste.

One basic and major conclusion it can be said is that portuguese public television have most of environmental programs with adults as target audience. Moreover, Portugal does not have environmental education into school programs and most adults have a gap on passing environmental awareness, which is reflected on the lack of environmental knowledge of children.

According to Lance Bennett cited in Boykoff and Rajan (2007) "few things are as much a part of our lives as the news ... [it] has become a sort of instant historical record of the pace, progress, problems, and the hopes of society" reflecting the influence of the mass media on individuals.

The media has been responsible for its dissemination and miscommunication, being a strong influence on public opinion and policy.

Holt and Barkemeyer (2012) noted that the rise in media coverage of sustainability-related concerns and increasing levels of public awareness have not developed homogeneously over the last two decades inferring to both issue-attention cycle and punctuated equilibrium models.

Punctuated equilibrium model suggests, from a biological perspective, that evolutionary shifts occur in infrequent transformative punctuations to a new species and within management research suggests that systems remain relatively stable for long periods of time but are punctuated by short periods of rapid change in the form of punctuated equilibrium. This model has already been applied to the evolution of environmental policy. The issue-attention cycle model explains the fluctuation of reporting of environmental issues into the following stages: pre-problem; alarmed discovery, euphoric enthusiasm; realizing the cost; gradual decline of interest; and post-problem (Holt and Barkemeyer, 2012).



Holt and Barkemeyer (2012) suggest that shifting from one stage to another in the issue-attention cycle may be linked to the timing of a punctuated shift, in other words, they consider this as a symbiotic process since the issue-attention cycle appears to play a key role in moving an issue towards a punctuated shift.

Same authors say that application of these models to study communication and awareness building is an important contribution towards understanding the role of the media and that we can perhaps see how to keep sustained attention on engaging the public, and promote increased levels of awareness and knowledge of environmental and social issues in our societies (Holt and Barkemeyer, 2012).

Although they could not fully explained the portuguese media cycle for climate change with Downs framework (issue-attention cycle), they suggest that portuguese media coverage on climate change follows a cycle, having already identified the stages "alarmed discovery" and "realizing the cost", as stated on their study (Dessai *et al.*, 2001).

It should be noted that there are glimpses in Dessai *et al.* (2001) study that show that portuguese media focus on climate change is mostly centered on international climate events, whereas national articles remain, however, mostly irrelevant.

Television environmental programs can shed light on many unanswered knowledge questions, but is not sufficient to change perception of the portuguese public to this global environmental problem. The media have to enhance environmental science communication, since within the majority of portuguese public sphere this is the only way of environmental knowledge.

Such considerations can lead us to consider the utility of public television as an environmental education tool as noticed by Boykoff and Rajan (2007). They also noticed a declining attendance at face-to-face educational events and considered that video-based materials might be more effective. In this sense, same authors are apologist to focus on how to generate interest, especially for those citizens who do not have the initial interest or who might feel that they do not possess the appropriated educational background.

Therefore, it is important to target the right population and channel sufficient quality and quantity of information; it is important to consider the basic understanding of citizens about the environmental issues, the quality and quantity of their knowledge and their awareness on environment; it is important to realize that media coverage is related to (and can influence) the level of awareness of specific issues and public attention on environmental issue (Holt and Barkemeyer, 2012; Sampei and Aoyagi-Usui, 2009; Boykoff and Rajan, 2007).

Such considerations can provide insights into many other important topics, and so guide valuable information of environmental awareness to each of these programs.

## References

- Boykoff, M.; Rajan, R.. (2007). "Signals and noise - Mass-media coverage of climate change in the USA and the UK". *EMBO reports*, Vol 8, N. 3, 207-211.
- Dessai, S., Branco, K., & Doria, M. F. (2001). "Climate change and media in Portugal: Preliminary results". *International Conference on Climate Change Science, Economics and Politics*. [Online] Available: <http://www.uea.ac.uk/~e120782/papers/media.pdf>
- Fraga, H.; Dinis, M. A. P.; Mota, G.. (2005). "O Desenvolvimento Sustentável na Gestão Resíduos", *Revista da Faculdade de Ciência e Tecnologia*, 2, 83 - 96.
- Glaser, B; Strauss, Anselm L., (1967). *The Discovery of Grounded Theory: Strategies for Qualitative Research*. Chicago: Aldine Publishing Company
- Gurses, N.; Yuksel, C.. (2009). "Environmental education via television: Eskisehir Camlica District Case". *Turkish Online Journal of Distance Education-TOJDE* . Vol. 10. N. 4 Article 13: 203-215.
- Holt, D.; Barkemeyer, R.. (2012). "Media Coverage of Sustainable Development Issues – Attention Cycles or Punctuated Equilibrium?". *Sustainable Development*, 20, 1–17.
- Kapoor, N.. (2011). "Role of mass media in promotion of environmental awareness along with skill development among the rural people of Shringverpur, Allahabad district, India". *International Conference on Chemical, Biological and Environment Sciences (ICCEBS'2011)*, 264-268.
- Martinho, M. G.; Gonçalves, G.. (2000). "Gestão de Resíduos". *Universidade Aberta*. Lisboa.
- Mucelin, C.; Bellini, M.. (2008). "Lixo e impactos ambientais perceptíveis no ecossistema urbano". *Sociedade e Natureza, Uberlândia*, 20 (1), 111-124.
- Rechkemmer, A.; von Falkenhayn, L.. (2009). "The human dimensions of global environmental change: Ecosystem services, resilience, and governance". *Eur. Phys. J. Conferences*, 1, 3–17.
- Rohrschneider, R.. (1988). "Citizens' Attitudes Toward Environmental Issues - Selfish or Selfless?". *Comparative Political Studies*, 21, 347- 367.
- Roseiro, M. N. V.; Takayanagui, A. M. M.. (2004). "Meio ambiente e poluição atmosférica: o caso da cana-de-açúcar." *Revista Saúde*, v. 30, n. 1-2, 76-83,

- Sampei, Y.; Aoyagi-Usui, M.. (2009). "Mass-media coverage, its influence on public awareness of climate-change issues, and implications for Japan's national campaign to reduce greenhouse gas emissions". *Global Environmental Change* , 19, 203–212.
- Schmidt, L. (2003). *Ambiente no Ecrã. Emissões e Demissões no Serviço Público Televisivo*. Lisboa: Imprensa de Ciências Sociais.
- UNESCO. (1999). *6<sup>th</sup> Adult environmental education. Adult environmental education: awareness and environmental action*. Hamburg: Unesco.

## Scaffolding as a Bridge to Literature for Science and Engineering Students

Sompatu Vungthong

KMUTT, Bangkok, Thailand

Email: sompatu.vun@kmutt.ac.th

---

**Abstract** *It has been held that science and literature stand at opposite poles. The fact that students at King Mongkut's University Technology Thonburi (KMUTT), a university in Thailand which is known for science and engineering, have never had a chance to be exposed to literature through the English courses offered by the university seems to confirm this belief. Just recently Reading Appreciation was offered as an elective course. The study then was conducted to investigate ways in which a teacher employs scaffolding techniques to help students, with no literature background and for some even with no interest, approach literary works critically. The study was framed by the Vygotskian concepts of scaffolding coined by the "zone of proximal development" that posits that children under adult guidance or in collaboration with more capable peers can develop themselves more successfully. Data in this study were derived from the recordings of the teacher-student interaction in Reading Appreciation Course and the students' journals. The focus of this study consisted of 6 science and engineering students. Looking at a variety of types of scaffolds used in class based on cognitive and linguistic aspects, the study showed that through scaffolding literature can be made appealing to science and engineering students and they can respond to literature critically.*

---

### Introduction

It has been held that science and literature stand at opposite poles. The fact that students at King Mongkut's University Technology Thonburi (KMUTT), a university in Thailand which is known for science and engineering, have never had a chance to be exposed to literature through the English courses offered by the university seems to confirm this belief. Just recently Reading Appreciation was offered as an elective course. It is very challenging to teach science and engineering students who have no background on literature to approach it critically.

For my previous research "Developing Engineering Students' Critical Thinking Skills through Reading Short Stories" (Bunsom, Vungthong, and Singhasiri, 2011), the focus is on assessing and categorizing students' critical thinking skills according to Bloom's taxonomy after their attending discussion classes on short stories. This study, however, chooses to place an emphasis on the teaching practices and peer interaction in classroom. To be more specific, it aims to investigate ways in which a teacher employs scaffolding techniques to help students, with no literature background and for some even with no interest, approach literary works critically. The study is framed by the Vygotskian concepts of scaffolding.

### Scaffolding

In order to encourage a child's learning, various effective teaching procedures have been proposed. Scaffolding as a metaphor in the field of learning is one of them. The term scaffolding refers to the temporary support provided for the completion of a task that learners otherwise might not be able to complete. Through the Vygotskian framework, learning is perceived as occurring in a "zone of proximal development" (ZPD) or the space where children who are guided by adults or collaborate with more capable peers can perform better than what they do independently (Vygotsky, 1978).

Recent studies of classroom reading instruction have found that scaffolding is employed typically in support of word recognition (Clark, 2000). However, apart from word recognition, scaffolding can be used for other aspects in a reading class, especially for a literature classroom where students are usually faced with complicated texts. Despite the useful application of scaffolding in a literature class, it seems there have been only few pieces of research conducted on this aspect. Wollman-Bonilla and Werchadlo in "Teacher and peer roles in scaffolding first graders' responses to literature" (1999) explore the role of teacher modeling, instruction, and feedback in encouraging reflection, personal interpretation, and elaboration in written responses. Similarly, Fournier and Graves in "Scaffolding adolescents' comprehension of short stories" (2002) describe an approach to assist seventh-grade students' comprehension of individual texts with a Scaffolded Reading Experience (SRE) and find that SREs can increase students' comprehension of short stories.

This study is therefore an attempt to add to the literature, offering a Thai perspective on how scaffolding is used in a literature class.

## Research questions

1. What types of scaffolding does a teacher use to enable science and engineering students to approach literary works critically?
2. Does peer interaction in classroom and on the Facebook page help students learn literature better?

## Methodology

1. The study was framed by the Vygotskian concepts of scaffolding coined by the “zone of proximal development” that posits that children under adult guidance or in collaboration with more capable peers can develop themselves more successfully.
2. Data in this study were derived from the recordings of the teacher-student interaction in Reading Appreciation Course and the students’ journals as well as written response on the Facebook page which was specifically created for this course.
3. The focus of this study consisted of 6 science and engineering students in the course LNG 231 Reading Appreciation offered at KMUTT.
4. The course LNG 231 Reading Appreciation provided various critical reading materials including the literary works for the later half of the course; this study will focus only on the interactions regarding the literature parts including a novel, short stories and poems.
5. Quotation in this paper was cited as taking place in class discussion or appearing in the students’ journals and on the Facebook page despite its grammatical mistakes.

## Results and Discussions

From the recording of classroom interaction and the written responses from the students’ journals and the Facebook page, scaffolding that help facilitate the students’ learning literature can be categorized into five types.

### 1. Relating to students’ comprehensible experience and interest

As most science and engineering students have no background on literary devices or theories and some even without interest in literature, in order to make the complicated literary concept more comprehensible and appealing there is a need to relate the new literary knowledge to their experience and interest. For a specific example, the teacher introduced the concepts of two kinds of conflicts:

T: What do you think is the internal conflict? What kind of conflict is it?

S1: Inside my own mind.

T: Yes, it is a conflict that you have with yourself. Can you give me the examples of the internal conflicts?

S2: You want to get A but you always play game.

T: Okay, you have to struggle against the desires to play games.

As not all the students really understood the concept of an internal conflict, the teacher asked them to think of a specific example. Then Student2 gave an example that is not beyond other students’ schemata. As a student, assumably from his/her experience Student2 thought of a situation in which a student is torn by the conflict in his own mind. One side is his/her wish to get a grade; the other is the desire to turn back to all the books and just play game for pleasure. By doing this, some other students who were unable to comprehend this concept could develop a better understanding. After S2 offered his /her opinion, S3 cited his/her own experience as an additional example. He told the class that when he studied in Assumption College, a Christian school in Thailand, he got to learn more about Christianity and found many aspects of its teaching useful to his life. However, at that time he was a Buddhist. His internal conflict occurred as he did not know which religion he should identify with. Anyway, after he grew up he realized that he did not have to choose only one religion. One personal experience can activate other students’ answer. When moving to the point of external conflict, Student 4 referred to the conflict between a “Red Shirt” and a “Yellow Shirt”, the two political poles in Thailand which are against each other. Again, the literary concept is made more comprehensible when it is related to real life. In addition, being asked to give an example of the climax, S4 also gave an answer derived from his favorite movie, Saw.

## 2. Learning from the mistakes

Facing a sophisticated concept beyond their understanding, students cannot avoid being confused and giving a wrong answer. A wrong answer can destroy students' interest and motivation if it is not dealt with properly. The teacher in this study used a mistake as a way for students to learn the new concept better. From the recording, after introducing the theoretical concept of dilemma which involves the undesirable choices, neither of which you want to choose, the teacher asked students to give examples. S4 gave the wrong example. Then, the teacher further explained the concept placing an emphasis on the fact that a dilemma involves the choices which you don't want to choose but you are forced to choose one. Then, S4 gave a correct example, specifically alluding to the movie he had seen, *Saw*. He cited a decision of one character in this movie who is forced to choose between cutting his own leg or shooting someone else in order to survive. We can see that at first S4 did not understand "dilemma" as the literary concept and gave the wrong answer. Then, after getting additional information regarding the concept, he/she understood the concept and gave the relevant example.

## 3. Learning from your friends

Coping with difficult topics, students also found their friends' comments and opinions particularly useful, facilitating their understanding of the literary texts. Through other students' answers, they find that there are many different ways to interpret the texts. This enables them to approach literature critically. Literature is not just about knowing the story and characters; it is about interpreting by citing the evidence from the texts. It is very difficult for science or engineering students with no literary background to look at the texts from different points of views and angles or to comprehend that there is no one single way to interpret the literary works. From the data, they can learn different perspectives from their friends in literature class. In particular, S3's journal on what he or she had learned in class can help illustrate this point:

And class make me think deeper and broader what's a real meaning in *The Doll's house*. Especially in context in every character in this story. Class makes me think about every context every move and every feeling of character.

S3 learned to appreciate one of the most important aspects of literature, that is, there is no one single truth or a single way of interpretation. "Class" here refers to the whole class which encouraged S3 to think of other possibilities of the text. He/she had a particular point of view towards a character but felt surprised that some students offered the different but refreshing interpretations. Similarly, from S1's journal, S1 focused on the fact that he/her had gained new points of views from his/her classmates.

Most of their ideas are different than mine which is really great because I have a chance to open my mind, listen to many new points of view, and some answers even more convincing to me, to my own way of thinking, than my own answer. This diversity of thoughts enlightens me more than any science and math classes I have taken which is always full of theories, rules, and fixed answer. I want to thank Yut for being a great classmate. He always shares interesting comments and never fails to bring the class some humors. His background knowledge is far different than mine, so his interpretation are always surprise me in many good ways.

S1 specifically thanked another student whose interpretation of the text surprised him/her and broadened his/her views.

## 4. Giving support when support is needed

The teacher provided three main kinds of support; explaining difficult vocabulary, clarifying sophisticated concepts and pointing out the paragraph important to the students' critical understanding of the text.

Firstly, the teacher asked the students regarding the words in the text that they find difficult to understand and then asked whether they think those words are important to the overall understanding of the story. However, the students recognized that for fiction every word seems to convey the delicate or hidden meanings. They, therefore, asked more about many words. Although they had looked those words up in the dictionary, they did not seem to be satisfied. The teacher then explained the important words in detail, gave the example, and related them to the context in a certain text. Interestingly, the students asked when the discussion went on for some time as they were certain that the certain words they wanted to ask about were important to their understanding.

Secondly, the teacher simplified sophisticated concepts when students could not catch up. Dealing with the concept of irony, students at first did not understand that the content in Stephen Crane's poem "War is kind" is actually intended to be as the irony satirizing those who are in favor of war. The teacher explained more about the concept by giving an example:

T: The verbal irony is used for example when you see your friend making a very stupid mistake, you said "So clever!".  
 S2: You say something but you mean the opposite.  
 T: Yes. Let's think about the poem "War is kind". Do you think the author believes that a war is kind?

Then, students reinterpreted the whole text that the poet is actually against wars as it causes the family of the victims to live in misery. They were also encouraged to think whether this technique is more effective than telling readers directly that a war is appalling.

Thirdly, when students could only read the surface or literal meanings of the texts, the teacher would point out the interesting parts for students to ponder over. For example, after students understood the plot of the short story "The doll's house", the teacher pointed out the paragraph depicting the lamp in the doll's house in detail. Then, the critical discussion on the text started:

S1: The most special thing about the house is the lamp.  
 T: Why do you think so?  
 S6: the writer talks about it much.  
 T: What does it represent? It can be the symbol of something else.

After that, students came up with different interpretations and opinions by citing the evidence from the texts to support their ideas.

## 5. Teacher's guiding questions

The teacher plans the three steps of teaching literary texts. The first one is making sure all the students understand plots and characters. The second one is urging students to respond to literary texts critically by thinking of the literary devices and the message the author is trying to give readers. The last one is inviting students to evaluate the text, asking their personal opinion on the text. All of these steps are implemented through various questions.

For the first step, to ensure that all the students are able to discuss the text together, the teacher tried to illicit the plot from students. It turned out that some of them haven't even finished the text yet because they found the text quite difficult to comprehend. The teacher therefore began with asking the simple questions regarding the plot and characters:

T: What are the important characters in the story?  
 S1: The Burnells  
 T: Tell me more about the Burnells. Who are they?  
 S6: Owner of the doll house  
 T: Are they rich or poor?  
 S1: Rich  
 T: How many children do they have?  
 S6: 3 daughters  
 ....  
 T: What is the other family?  
 S5: The Kelveys

Similarly, when students could not develop the analysis of characters, the teacher guided them with questions.

T: Tell me more about Isabel.  
 S1: Bossy  
 S6: Self-confident  
 S1: Self-centered  
 T: Please think more about her relationship with her younger sisters?  
 S4: They just follow Isabel. She will choose only who come to see the lamp.  
 T: What about the Kelveys sisters? What is their relationship like?  
 S6: They love each other.  
 T: How do you know that?

S6: Else (the younger sister) follows the sister everywhere. They understand each other.

S1: It can be compared to the Burnells.

For the second step, the teacher tried to encourage students to approach the literary text critically through various questions. For the short story, "The doll's house", the teacher asked about the significance of the school setting in the short story. The students were encouraged to think beyond the simple comprehension level. S1 pointed out the concept of social class in the school which accommodates students from both rich and poor families. S4 also talked about the social line dividing students and influencing the teacher's reactions to students from different classes.

T: What is the line here?

S4: The special treatment

T: How do you know that?

S4: Special smile

S4 pointed out that the teacher in the story has a special smile for a particular rich student and this signifies a sense of social discrimination.

For the last step, the teacher also allowed the students to have their personal evaluation of the literary text. For the short story, "Here we are" involving a newly wed couple, in particular students gave various opinions and comments on the text. S5 believed that the male character is not effective enough: he should be a leader, making a firm decision, in order to avoid the quarrel. S3 thought the couple conflict as appearing in the story is normal. The quarrel is normal because they are nervous after just getting married. Differently, S6 predicted that the future of the couple in the story is not promising as they always quarrel over a trivial thing and they do not seem to really understand each other.

Reading the literary texts on their own, the students found them very difficult. Most of them read just for the surface meanings. However, through these three kinds of questions, they were urged to think more critically and approach the texts with better understanding.

### **The results of scaffolding implementation**

From the five types of scaffolding, students learn to approach literary works critically. They learn to voice their opinions, interpreting and evaluating the texts in their own ways. From S6's journal,

In this fiction our class are discuss about who is wrong between man and woman, but it still has no conclusion. In my opinion, both of them are wrong because there not think about each other however the men quite care about the woman but in finally he still cares about himself. So, I can learned just a small point can bring to big confliction then we should overlook on some little to avoid conflict and concern at the present not the future.

Whereas S6 leaned to pick up evidence from the text to give a certain interpretation, S4 even went further. S4 stated in his journal:

I don't think battle god mean King, or Leader class, because the writer who i discover later is American. Normally Christian they believe in Jesus right?, and of cause they don't any War god like Greek, Roman, or Ancient Scandinavian . So i think "Battle-god" mean external force, or Something that man usually believe like Glory, or something like that Most man gone to war by them self So from that thought I believe that "Battle-god" represent patriotism., and it will connect with another symbol "Eagle with Crest of red ,and Gold"

In response to the poem "War is kind", S4 offered the different interpretation which was not discussed in class. He after class explored the biography of the poet and agued that the battle god in the poem actually refers to patriotism.

### **Conclusions**

1. What types of scaffolding does a teacher use to enable science and engineering students to approach literary works critically?

Firstly, the teacher related a literary concept to students' comprehensible experience and interest. Moreover, when students made a mistake, giving a wrong answer, the teacher was supportive, not putting the blame on the student. The teacher explained the concept involving a wrong answer again to ensure the student's comprehension. In addition, students learned well from the interaction with their friends. If their friends could not help, the teacher would give support in terms of difficult vocabulary, a sophisticated concept and the paragraph important to the students' understanding of the text. Finally, the teacher planned three kinds of questions to encourage students' engagement with the text. The first one is a question regarding plots and characters; the second one is critical analysis of the text; the last one is about personal opinion towards the text.

## 2. Does peer interaction in classroom and on the Facebook page help students learn literature better?

Yes, it does. From the transcription, it is obvious that even one student's mistake can make other students understand the sophisticated concept better or even get to know the new concept that is not the target point for that class.

We can see that studying literature is not a linear or simple way of teaching. It usually involves the struggle in the parts of students and teachers. To learn literature as one form of reading, the provision of vocabulary and content support may not be sufficient. To enable students' comprehension of difficult literary texts, it is useful to relate them to students' experience and interest. Moreover, students can learn from their wrong answer in class and from their friends' personal opinions on the texts. Teachers can also give support in terms of vocabulary, complicated concepts and important parts of the texts, and provides guiding questions to ensure students' understanding. Looking at a variety of types of scaffolds used in class and on the Facebook page, the study showed that through scaffolding literature can be made appealing to science and engineering students and they can respond to literature critically.

## References

- Bunsom, T., Vungthong, S. & Singhasiri, W. (2011). Developing engineering students' critical thinking skills through reading short stories. *Journal of English Studies*, 6, 118 - 140.
- Clark, K.F. (2000). Instructional scaffolding in reading: A case study of four primary grade teachers (Doctoral dissertation.). University of Minnesota.
- Fournier, D. N. E. & Graves, M. F. (2002). Scaffolding adolescents' comprehension of short stories. *Journal of Adolescent and Adult Literacy*, 40, 30-39.
- Wollman-Bonilla, J.E. & Werchadlo, B. (1999). Teacher and peer roles in scaffolding first graders' response to literature. *The Reading Teacher*, 52, 598-607.
- Vygotsky, L. (1987). *Mind in society: The development of higher psychological processes*. Cambridge MA: Harvard University.



## Microevolution Processes in Fieri Population as Estimated by Isonymy Techniques

**Silvana Turku**

Ph.D University of Elbasan, Albania,  
e-mail: [silvanaturku@yahoo.com](mailto:silvanaturku@yahoo.com)

**Hyrida Basha**

Msc.University of Tirana, Albania  
e-mail: [hyridabasha@yahoo.com](mailto:hyridabasha@yahoo.com)

**Ilia Mikerezi**

Prof. Dr. University of Tirana, Albania  
e-mail: [imikerezi@yahoo.com](mailto:imikerezi@yahoo.com)

---

**Abstract** The genetic structure of Fieri population was analyzed through the distribution of surnames obtained by a sample of 3'471 marriages registered in the period 1946-2006. The data were recorded for every five years starting from 1946 (than 1951, 1956 and so on) to 2006. Estimations of Fisher's  $\alpha$ , an indicator of richness of surnames, and  $v$  of Karlin-McGregor, indicator of migration rates, were obtained for both natives and immigrants. These indicators showed higher values in immigrants. The same was demonstrated even by  $\log_{2k}\text{-log}_{2S}$  regression line. Two different estimations of relationships between all possible combinations of cohorts born in nine different decades were obtained through Euclidean distance and Lasker's coefficient of relationship, respectively. Comparisons of  $F_t$ , coefficient of total inbreeding and Fisher's  $\alpha$  indicated that any decrease of  $F_t$  was followed by an increase of  $\alpha$  as the result of recent migration.

**Keywords:** isonymy, surname distribution, marital structure, Euclidean distance and Lasker's coefficient.

---

### Introduction

In recent decades, surnames have been frequently used as genetic markers to evaluate different factors that influence the genetic structure of human populations. Considering that in most societies surnames are transmitted through the paternal line, they can be considered as neutral alleles of one locus on Y chromosome (Barrai et al, 1987; Barrai et al, 1989; Cavalli and Edwards, 1967; Zei et al, 1983). This property of surnames allows the investigation of the temporal trends in the variability of the population (Cavalli and Edwards, 1967; Rodriguez-Larralde, 1993).

The study of Fieri population is part of an investigation and it aims the estimation of the genetic relationships among all different local populations in Albania by using different methods. Therefore, it will be possible to cast more light on genetic history of Albanian population.

Fieri is located in South-Western part of Albania in a rather isolated geographical position. In this framework, there is an absence of genetic investigations in this population. Therefore, it seems interesting to study the frequency distribution of surnames in order to obtain population dynamics indicators especially related to migration. Moreover, this study aims to test whether the geographical position and migration patterns have affected the inbreeding level. This is the first the investigation of Fieri population, and, as in other researches, it will continue in the future by using other alternative genetic methods.(Gjika, 2005).

### Materials and Methods

The records of 3471 marriages of individuals resident in Fieri were obtained from the registers of the Municipality. For each individual (subject) surname, gender, year and place of birth, and place of origin were recorded. A total of 6939 different surnames were counted. Among them, 4622 surnames were subjects born in Fieri, and 1317 surnames were subjects who had immigrated from elsewhere. All the records were grouped in 9 classes according to the date of birth of

the bearers. In order to analyze chronological trends in marital structure the data were grouped in 7 classes according to the period of marriage.

The distribution of surnames was studied by sorting the main files by place of birth and period of birth. For each of both groups that were formed by the above sorting, several parameters were estimated. The unbiased isonymy (I) and Fisher's  $\alpha$  were estimated according to Rodriguez-Larralde et al (1993):

$I = \sum_i q_i^2 - 1/n$  ( $q_i$  - relative frequency of the  $i$ -th surname in each cohort,  $n$  - total number of surnames in the same cohort) where the summation is over all surnames and  $\alpha = 1/I$  (Zei G et al 1983)

Karlin-McGregor's  $v$  was calculated according to:

$v = (1-B)/[B(n-1)]$ , where  $B$  is the biased isonymy estimated as:

$B = \sum_i q_i^2$  ( $q_i$  - as defined above)

The relationship between cohorts born in different decades was studied according to the following formula:

$R = \sum_k (q_{ik}q_{jk})$ , where  $q_{ik}$  and  $q_{jk}$  are the relative frequencies of surname  $k$  in cohorts  $i$  and  $j$  respectively. This parameter will be considered here as Lasker's coefficient.

The Euclidean distance between cohorts was also estimated according to Cavalli-Sforza et al (1967):

$D = \sqrt{1 - \cos \theta}$ , where  $\cos \theta = \sum_k \sqrt{q_{ik}q_{jk}}$ , with  $q_{ik}$  and  $q_{jk}$  as defined above.

Both groups of immigrants and natives to Fieri were compared by the slope of regression lines fitted to  $\log_2 k$ - $\log_2 S$  distributions according to where  $S$  is the number of surnames appeared  $k$  times (Barrai et al, 1987).

In order to analyze the endogamy, the marriages were subdivided into three groups according to the birthplace of the spouses: a) both partners born in Fieri, b) one partner born in Fieri and the other born elsewhere, c) both partners born elsewhere. Changes in premarital migration were studied by measuring the linear geographic distance (in kilometers) between birthplaces of mates. The total inbreeding ( $F_t$ ) and its random component ( $F_r$ ) were estimated from marital isonymy according to Crow et al (1965), and Crow et al (1980):

$F_t = F_r(1-F_n) + F_n$

## Results and Discussion

### 1. Surname distribution by place birth

The distribution frequency of surnames was given as a function of the number of individuals carrying the same surname. (Caravelle et al, 1999)

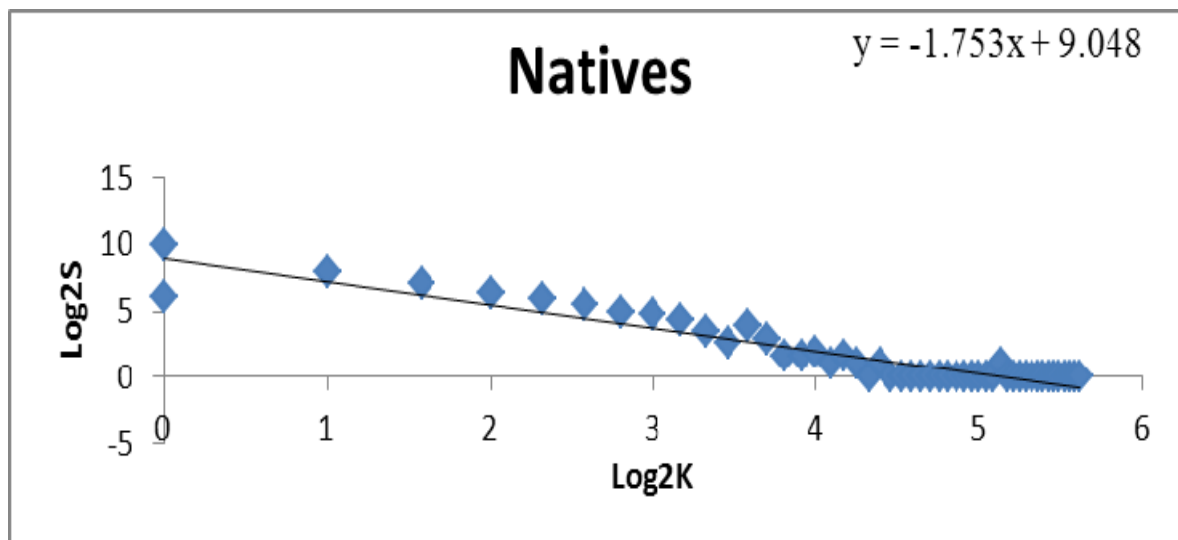


Fig 1-1: The slopes of the regression line in natives

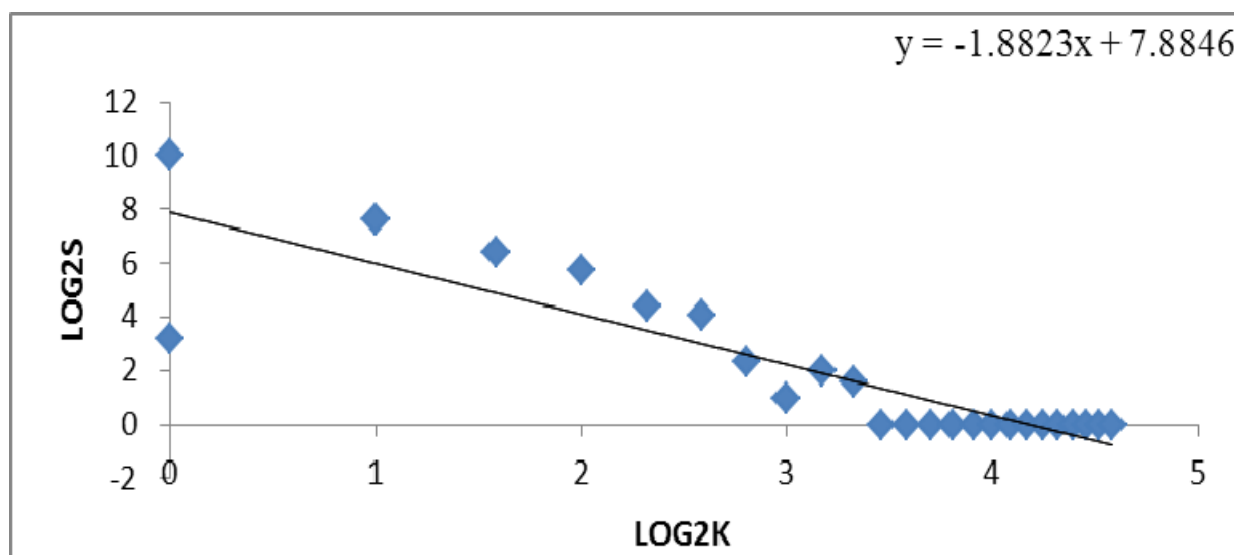


Fig 1-2: The slopes of the regression line in immigrants

The graphs in the figure 1.1 and 1.2 show that the slopes of the regression line change significantly with the origin: in immigrants it had the value  $b = -1.8823$ , whereas in natives the value of the slope was  $b = -1.753$ . The high number of surnames with unique frequency or with a small one among immigrants is a good indicator that migration occurs generally by single individuals or small family groups.

## 2. Indicators of temporal changes in the group structure:

Fisher's  $\alpha$  is an indicator of the richness of surnames because of the accumulated migration, while Karlin-McGregor's  $v$  is an indicator of the immigration since it is correlated to the surnames that appear only once.

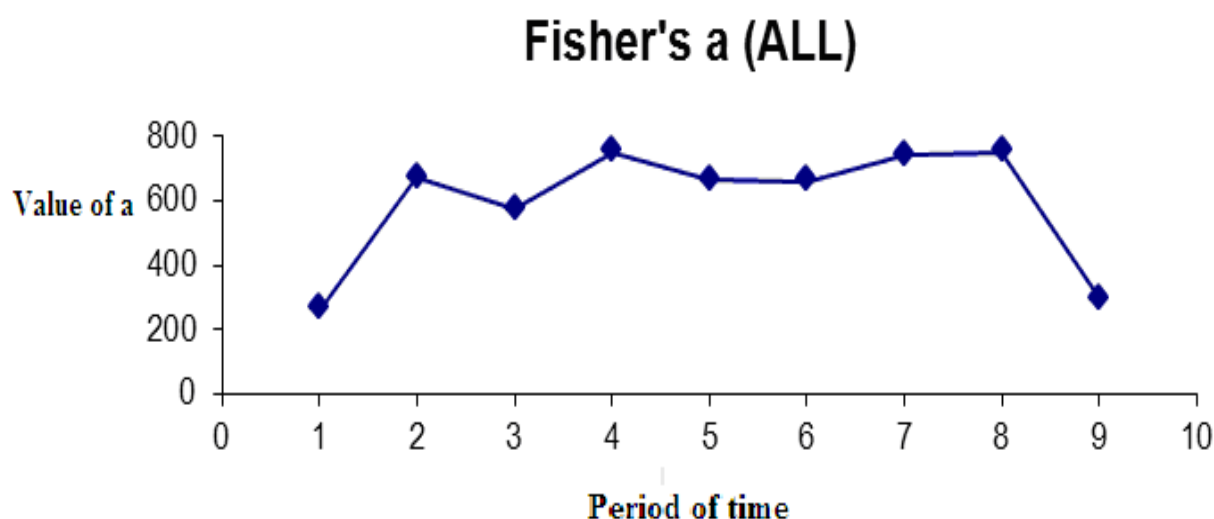


Fig 2-1: Fisher's  $\alpha$  in different decades for both natives and immigrants (All)

The figure 2.1 show that the highest values of  $\alpha$  corresponded to the second (1911-1920), fourth (1931-1940) and to the eighth (1971-1980) periods, while the lowest value is reached during the third (1921-1930) and ninth period (1981-1992)

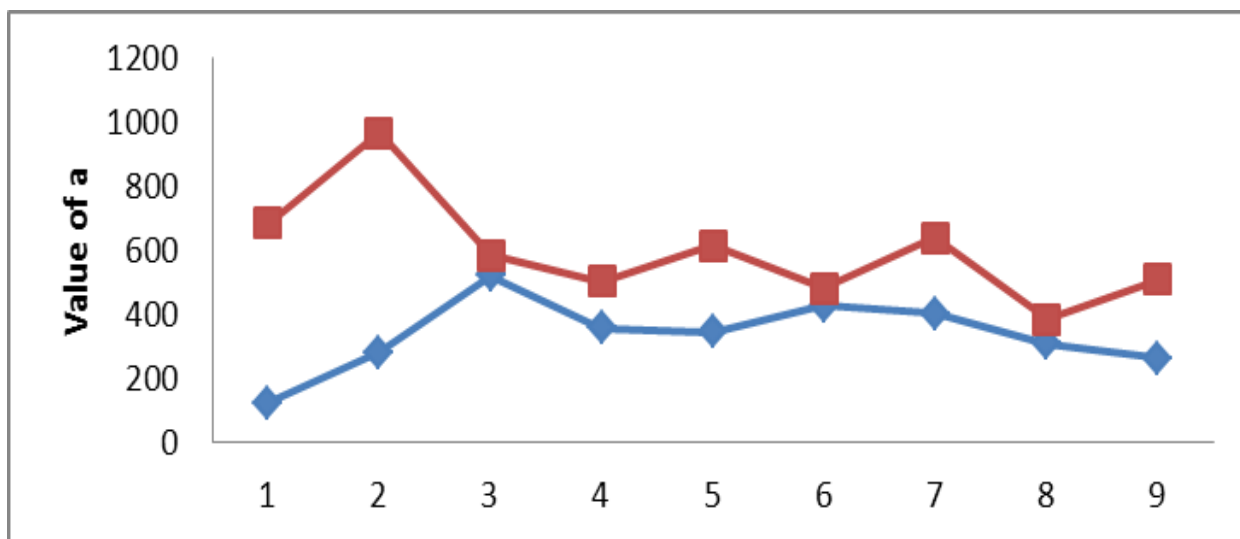


Fig 2-2: Comparison of Fisher's  $\alpha$  between immigrants and natives in Fier

Similar values of  $\alpha$  for both residents and immigrants (red line in figure 2.2) groups were obtained for the first three periods of time, while the values of  $\alpha$  were higher in immigrants in the consecutive periods. Since migration generally moves single persons or small family groups, the richness of surnames and consequently surname variability was higher among immigrants than in natives.

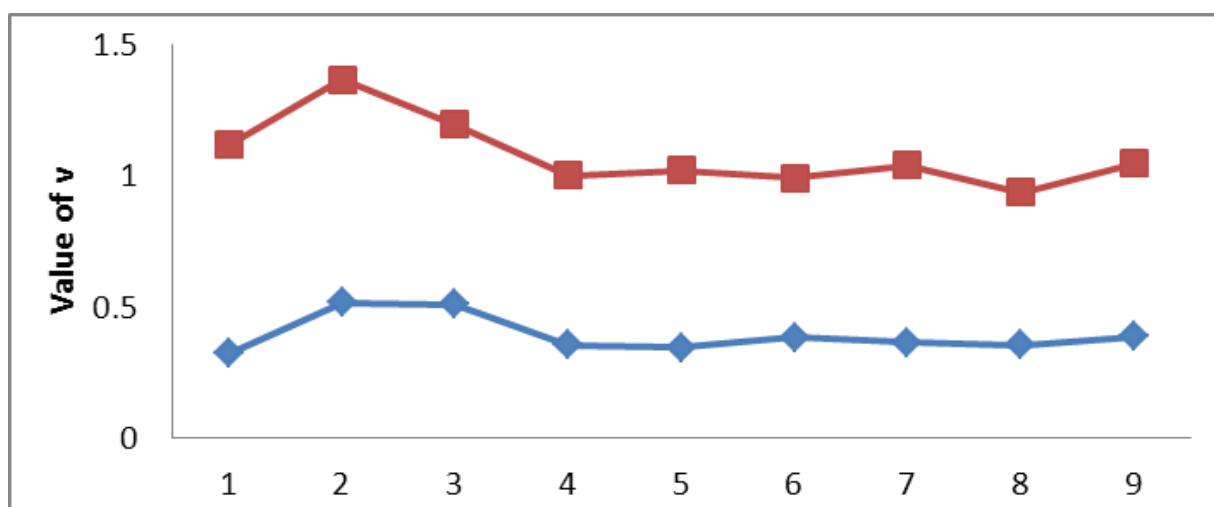


Figure 2-3: Comparison of Karlin-McGregor's  $v$  between immigrants and natives in Fier

The values of Karlin-McGregor's  $v$  were higher among immigrants (red line in figure 2.3) compared to natives (blue line in figure 2.3). This is a consequence of the fact that  $v$  is correlated to the surnames of unique frequency.

### 3. Relationship between cohorts as measured by Lasker's coefficient and Euclidean distances:

The distances were calculated separately for natives, immigrants and for all together. If immigration through different decades was random regarding the surname, Lasker's distance between cohorts was expected to be nil, while Euclidean distance should be one. Lasker's distance values tended to be lower among immigrants compared to natives, while for Euclidean distance the relationship is inverted. It was observed that the relationship between the cohorts is decreasing in the following decades for both Lasker's and Euclidean distance.

Rodriguez-Laralde *et al.* (1993) estimated Lasker's and Euclidean distances in relationship with time periods using data from Municipality of Perugia, Italy, for the period 1900-1990. They observed that the relationship among the cohorts decreased with time, showing that the population became more heterogeneous with time.

**Table 3-1: Euclidean distance**

	1X2	1X3	1X4	1X5	1X6	1X7	1X8	1X9
1-cos $\theta$	0.762788	0.704481	0.748473	0.781681	0.777937	0.845525	0.841184	0.81895
		0.781299	0.736238	0.80027	0.791874	0.829872	0.864291	0.832217
			0.65754	0.695241	0.727886	0.726384	0.792284	0.786029
				0.624121	0.570214	0.656241	0.700181	0.723387
					0.604987	0.608381	0.701061	0.71827
						0.57881	0.644466	0.694316
							0.613892	0.60872
								0.637453

**Table 3- 2: Matrix of Lasker's coefficient**

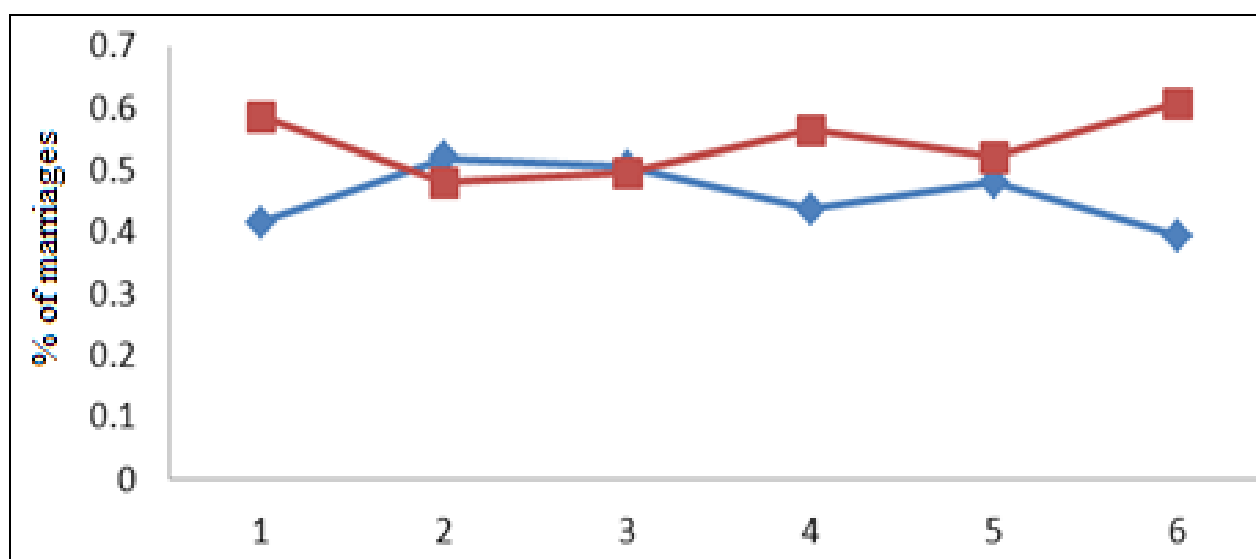
1X2	1X3	1X4	1X5	1X6	1X7	1X8	1X9
0.00119	0.001521	0.000733	0.000372	0.000948	0.000815	0.000401	0.000333
	0.000708	0.000874	0.000379	0.000435	0.00027	0.000258	0.000249
		0.000586	0.000752	0.001257	0.001048	0.000741	0.000549
			0.000577	0.000885	0.00044	0.00037	0.000362
				0.000643	0.000734	0.00068	0.000508
					0.001044	0.001021	0.000915
						0.001197	0.001185
							0.00146

#### **4. Temporal trends in marital structure:**

Results on temporal changes in marital structure could give us the possibility to estimate the trends of genetic isolation of the population under investigation. The values of endogamy are especially high during 1976 – 1986 when the mobility of the population was under total control according to the laws of the past regime. Lower values of endogamy are observed after the 1996, which follows the social and political changes when the population mobility was much higher compared to the past regime. However, for the entire period of investigation still high values of endogamy were observed. This is related to the isolation due to the geographic location of Fier and the limited mobility of the population compared to the other regions of the country.

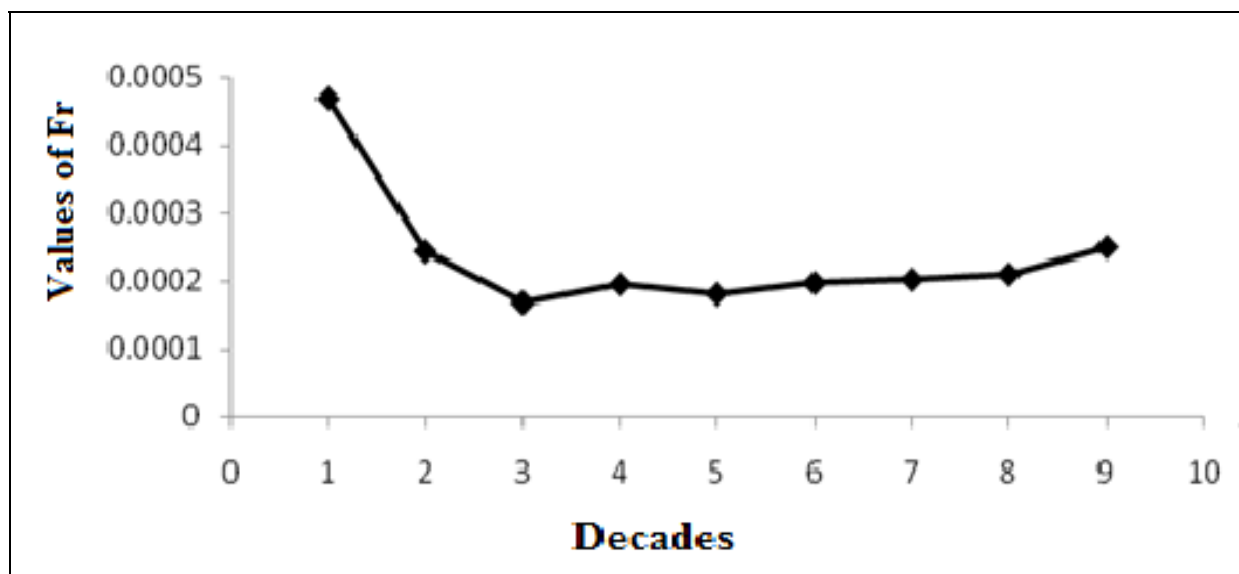
**Table 4-1:** Temporal trends in the frequency of endogamous and exogamous marriages

MARRIAGES		PER1(-56)	PER2(-66)	PER3(-76)	PER4(-86)	PER5(-96)	PER6(-06)
GROUP 1	NR	160	523	361	201	320	92
	%	0.415584	0.519364449	0.50419	0.436009	0.47976	0.393162
GROUP 2	NR	125	404	270	185	264	80
	%	0.324675	0.401191658	0.377095	0.401302	0.395802	0.34188
GROUP 3	NR	100	80	85	75	83	62
	%	0.25974	0.079443893	0.118715	0.16269	0.124438	0.264957
ENDOGAME	NR	160	523	361	201	320	92
	%	0.415584	0.519364449	0.50419	0.436009	0.47976	0.393162
ENDOGAME	NR	225	484	355	260	347	142
	%	0.584416	0.480635551	0.49581	0.563991	0.52024	0.606838

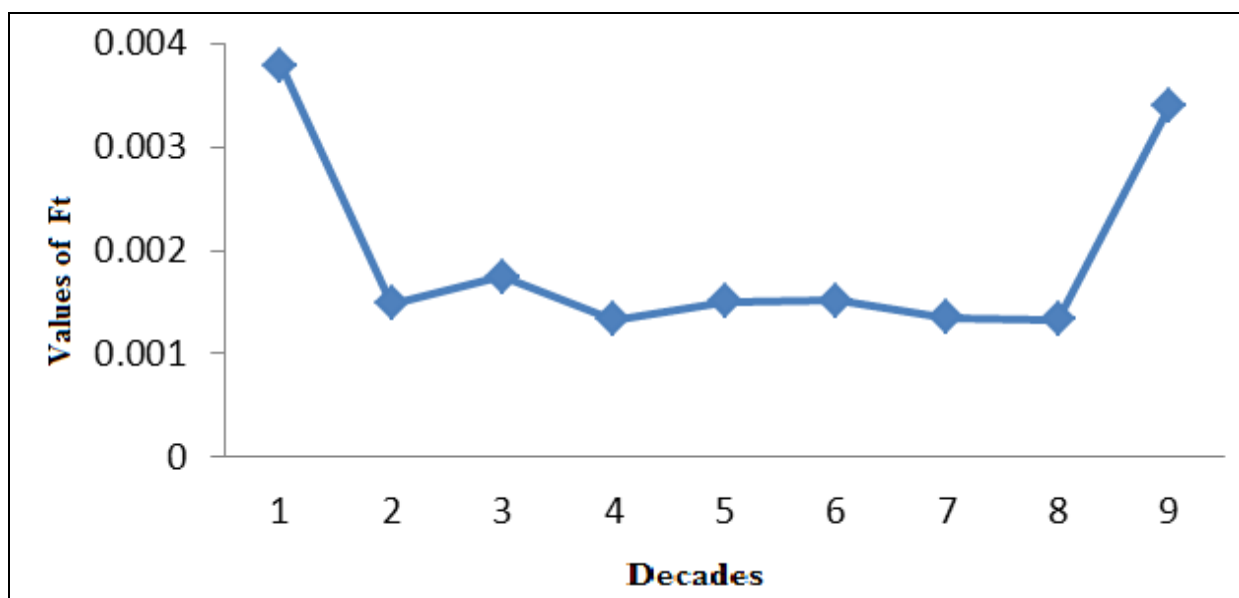
**Fig 4-1:** Frequency of endogamous and exogamous marriages

The value of endogamous (blu line in figure 4.1) marriages is still high despite the social and economic factors that have influenced the gradual decrease of inbreeding coefficient measured by isonymy.

**5. Temporal trends in Isonymy and Inbreeding:** Inbreeding has been widely considered as a good indicator of genetic isolation. Fisher's  $\alpha$ , that is an indicator of the richness of surnames, could give additional information on the trends of the genetic isolation.



**Figure 5-1:** Temporal trend of random inbreeding Fr



**Figure 5-2:**Temporal trend of total inbreeding Ft

In Figure 5.1 is shown the continuous increase of the inbreeding level in the population due to both geographic location and the gradual decrease of the population's mobility, especially during the period of last political regime. The highest value is observed during the first decade. It follows a slight decrease of the inbreeding level starting from the 6-th decade, due to the economic development of the region in this period of the past regime. However, in the last decade the decrease of inbreeding was higher because of free movement of the population following the political and social changes. As the result of the recent of migracion any change of Ft values in figure 5.2 is followed by an inverted change trend of Fisher's  $\alpha$  value. For comparision reasons these changes are shown in this figure.(fig.5.2)

### References

- Barrai I, Barbujani G, Beretta G. et al. (1987) Surnames in Ferrara: Distribution, isonymy and levels of inbreeding. *Anaquo; Hum. Biol.* 14:415-423.
- Barrai I, Formica G, Barale R, Beretta M (1989) Isonymy and migration distance. *Ann. Hum. Genet.* 53:249-262.

- Caravelle G, Tasso M (1999) An analysis of the spatial distribution of surnames in the Lecco area (Lombardy, Italy). *Am. J. Hum. Biol.* 11:305-315.
- Cavalli-Sforza LL., Edwards A.W.F. (1967) Phylogenetic analysis models and estimation procedures. *American Journal of Human Genetics*, 19: 233-257.
- Crow JF (1980): The estimation of inbreeding from isonymy. *Human Biol.*, 52: 1-4
- Crow JF, Mange AP (1965) Measurements of inbreeding from the frequency of marriages between persons of the same surnames. *Eugenics Quarterly*, 12: 199-2003.
- Gjika I. (2005): "Fieri ndër shekuj", Fier
- Rodriguez-Larralde A, Formica G, Scapoli C, Beretta M, Mamolini E, Barrai I (1993) Microevolution in Perugia: isonymy 1890-1990. *An. Hum. Biol.*, 20: 261-274.
- Zei G, Matessi RG, Siri E, Moroni A, Cavalli-Sforza LL (1983) Surnames in Sardinia, I. Fit of frequency distributions for neutral alleles and genetic population structure. *Annals of Human Genetics*, 47: 329-352.



## Some Ecological Issues In a Few Luigi Pirandello's Short Stories<sup>1</sup>

Nikica Mihaljević

Università degli Studi di Spalato – Croazia

Email: nikica@ffst.hr

---

**Abstract:** *The research starts from the theory of environmental literary criticism and it uses its methodology in the analysis of some Luigi Pirandello's short stories. In a literary text, the ecocriticism analyzes the hierarchical order imposed by the centennial dictatorship of some members of the „vertical“ society. This order also inevitably includes some outcast elements which become marginalized by the policy of centralism, and the ecocriticism methodology permits the reader to concentrate on these elements. If we try to conceive the concept of the world not exclusively anthropocentric, it means that a man should interact with the nature, which will lead to the horizontal vision of the society. In this work the focus is on the Pirandello's characters which are described as marginalized, exposed to the atrocities of the social and moral extermination. These characters are assigned the roles of victims, since subject to the discriminatory mechanism. The analysis aims to research whether in Pirandello's texts it is possible, by applying the ecocritical methods, to regain the balance among the characters and to equalize all the members of „Pirandello's literary society“.*

**Key words:** *environmental literary criticism, hierarchical order, nature, society, victim.*

---

### 1. Introduzione

L'analisi in quest'articolo parte dalla metodologia della teoria dell'ecologia letteraria che compare alla fine degli anni '80 del XX secolo negli Stati Uniti. L'idea di una critica letteraria che partisse dal rapporto tra letteratura e ambiente ha le sue origini nel libro di Joseph Meeker *The Comedy of Survival: Studies in Literary Ecology* che esce nel 1972, mentre il termine *ecocriticism* viene coniato da William Rueckert sei anni dopo.<sup>2</sup>

Gli studi ecologici mettono in primo piano il rapporto fra l'uomo e la natura cercando alla base del testo letterario le relazioni biologiche. L'esempio valido dei rapporti armonici, l'ecologia letteraria lo trova nell'ambiente naturale.<sup>3</sup> Dato che la società contemporanea è segnata dalla crisi globale, l'etica ambientale trova la sua applicazione anche nella società per tentare di risolvere alcuni problemi più che attuali.

L'ecologia letteraria, quindi, parte dai presupposti che la società è, come la natura, definita dalla dinamica evolutiva che condiziona e orienta la vita dell'individuo. (Iovino 2006:41) Perciò gli stessi rapporti equilibrati che dominano nella natura dovrebbero essere realizzati anche nell'ambiente sociale per raggiungere l'equilibrio nella società e per liberarsi dai rapporti ingiusti tra la classe che domina e la classe che è sottoposta al dominio. In un tale ambiente i membri della classe dominata sono guidati dalla classe dominante la quale impone le proprie regole che minacciano la sopravvivenza della società e dell'ambiente. I protagonisti delle novelle pirandelliane qui analizzate, emarginati ed oppressi, sono i membri di una società che ha perso il suo equilibrio e che può trovare il modo per sopravvivere soltanto grazie ad un nuovo equilibrio al quale si può giungere seguendo i modelli dell'equilibrio nella natura.

Le ricerche dell' *ecocriticism* introducono anche in altre scienze la coscienza della «reciproca dipendenza». (Iovino 2006:60) Ad esempio, nell'ecologia sociale lo scopo è creare una società orizzontale nella quale non esista la gerarchia

---

<sup>1</sup> This is the full version of the paper presented in the ICHSS 2012 in Tirana, Albania. The short version of this paper is published in the Vol 3 No 7 April 2012 of *Mediterranean Journal of Social Sciences*

<sup>2</sup> Rueckert lo utilizza nell'articolo *Literature and Ecology: An Experiment in Ecocriticism*, in «*Iowa Review*», 9.1 (1978).

<sup>3</sup> Secondo Serenella Iovino, già Charles Darwin, nella sua teoria sull'evoluzione della specie, propone lo studio ecologico dell'ambiente naturale perché al centro dell'evoluzione pone l'adattamento all'ambiente e non trova tra gli organismi una specie privilegiata alla quale le divinità hanno attribuito la predominanza su altre specie. Di conseguenza, secondo l'autrice, soltanto l'interazione degli organismi con l'ambiente circostante può portare al cambiamento degli organismi (e il cambiamento fa parte dello sviluppo di tutti gli organismi) siccome gli organismi si ambientano al contesto in cui vivono e insieme con esso si trasformano e cambiano. (Cfr. Iovino 2006:61).

delle classi, e in cui le differenze tra alcune classi vengano percepite come vantaggi e non svantaggi. Da queste tesi parte anche l'ecologia letteraria.<sup>4</sup>

L'ecologia letteraria, dunque, presuppone che tra la cultura, attraverso la quale l'individuo esprime i propri valori ed il rapporto con il mondo che lo circonda, e la natura ci sia il rapporto della reciprocità. (Iovino 2006:62) In una società caratterizzata dalla reciprocità tutti i membri dipendono uno dall'altro e in ognuno di essi viene valorizzato quello che lo rende particolare, senza infrangere l'identità e l'integrità di un altro membro della stessa società. Uno degli argomenti di base nell'ecologia letteraria è la dipendenza reciproca, la quale orienta verso le differenze tra alcuni membri della società le quali «esistono solo in vista di un principio di neutralizzazione dell'alterità, e sono perciò solo funzionali al rafforzamento dell'identico». (Iovino 2006:63) L'ecologia letteraria, quindi, tende ad un' «evoluzione consapevole»:

Se, con le sue attività, l'essere umano può operare sull'ambiente naturale, e manipolarne non sempre senza rischio gli equilibri, una nuova cultura che si confronti con le sfide del presente è necessaria, affinché gli attuali meccanismi dualistici di sfruttamento possano essere rimpiazzati da un'interazione etica "evoluta". È questa l'"evoluzione consapevole" a cui mirano la cultura ambientale e l'ecologia letteraria. (Iovino 2006:63)

In questo intervento vengono analizzate alcune novelle alle quali si cerca di applicare la metodologia dell'ecologia letteraria nell'interpretazione del testo. Si cerca, inoltre, di scoprire in quale modo possa, in alcune novelle pirandelliane, essere recuperato l'equilibrio infranto, seguendo i meccanismi dei rapporti equilibrati che dominano in natura.

## 2. La funzione del mondo della natura nell'opera pirandelliana

La lunga produzione delle novelle accompagna l'autore per tutta la vita, dalla prima giovinezza fino alla morte: Pirandello comincia a scrivere le novelle a diciassette anni e uno dei suoi primi lavori è la novella *La capannetta*. (Cfr. Luperini 2000) L'ultimo lavoro che chiude la sua carriera, e in un certo senso anche la sua vita, dato che termina il testo un giorno prima di morire, è un'altra novella, *Effetti d'un sogno interrotto*. Nel periodo tra il 1894 e il 1919 pubblica numerose novelle raccogliendole in 14 volumi diversi. L'idea di unire le novelle in un'unica raccolta gli viene dopo e così nel 1922 riorganizza tutte le sue novelle unendole sotto un unico titolo, *Novelle per un anno*, e suddividendolo in 24 volumi.<sup>5</sup>

Non sorprende che Pirandello abbia scritto così tante novelle lungo tutta la sua produzione letteraria, dato che rappresentano il genere con il quale riusciva a portare alla perfezione il suo stile. Tra queste si possono individuare alcune novelle in cui l'autore propone all'attenzione del lettore le conseguenze dell'atteggiamento dei protagonisti quando questi non seguono il ritmo della natura e le leggi che vi regnano: la vendetta della natura contro l'uomo gli porta dei danni così grandi che lui perde l'armonia che una volta conosceva.

In diverse novelle di Pirandello la natura appare come soggetto e allo stesso tempo la vittima dell'uomo. Così, ad esempio, in *Alberi cittadini* Pirandello annuncia la sua sensibilità nei confronti dell'ambiente: nella novella si racconta la sorte tragica degli alberi che crescono nelle città emarginati per l'urbanizzazione: la natura descritta è minacciata a sparire ed è ridotta al limite. Ma l'atto con il quale l'uomo osa intervenire nella natura rappresenta la minaccia della distruzione sia per alberi sia per l'uomo perché la vita in città non è quella che garantirebbe all'individuo una vita serena ed equilibrata:

---

<sup>4</sup> L'ecologia letteraria viene definita per la prima volta da Joseph Meeker con le seguenti parole: «If the creation of literature is an important characteristic of the human species, it should be examined carefully and honestly to discover its influence upon human behavior and the natural environment, and to determine what role, if any, it plays in the welfare and survival of humanity, and what insight it offers into human relationships with other species and with the world around us. Is it an activity that adapts us better to life on Earth, or one that sometimes estranges us from life? From the unforgiving perspective of evolution and natural selection, does literature contribute more to our survival than it does to our extinction? [...] This book will explore these questions in search of links between literature and the phenomena of nature». (Meeker 1997:4).

<sup>5</sup> Com'è abbastanza noto, secondo il progetto iniziale, ognuno di questi volumi avrebbe dovuto comprendere quindici novelle, per un totale di 360 novelle. Luperini spiega quante ne sono rimaste effettivamente: «In conclusione, dunque, l'attuale edizione di *Novelle per un anno* risulta suddivisa in quindici sezioni contenenti, in totale, 225 racconti. [...] A queste 225 novelle bisognerebbe poi aggiungerne 26 rimaste fuori dai quindici volumi (e probabilmente l'autore intendeva recuperarne diverse per quelli progettati e mai portati a termine) e ora comprese in un'appendice nella recente edizione dei «Meridiani» Mondadori, per un totale di 251». (Luperini 2000:137).

Ogni qual volta passo per quella via, guardando quegli alberetti, penso ai tanti e tanti infelici che, attratti dal miraggio della città, hanno abbandonato le loro campagne e son venuti qui a intristirsi, a smarrirsi nel laberinto d'una vita che non è per loro. (Pirandello 2003:1373)

Invece, della natura che si rivendica dell'uomo per il modo in cui vive, non seguendo l'equilibrio delle regole di essa, Pirandello parla nella novella *Vittoria delle formiche*. Al centro della trama si trova il protagonista il quale, dato che per anni ha vissuto sprecando la vita tra gioco, donne e vino, rimane senza soldi, senza potere e abbandonato dai figli e dalla moglie: da una vita agiata passa a vivere in una catapecchia, privo di mezzi. Ad un lettore poco attento potrebbe sembrare che si sia riconciliato con la natura e che abbia ripreso a vivere seguendone le regole. Però il suo continuo rimpianto del passato dimostra che non ha ritrovato l'equilibrio. Tuttavia allo stesso tempo continua a vivere senza cambiare niente. Di conseguenza, la natura si vendica e lo punisce: la sua casa viene invasa dalle formiche. Esse impersonano l'ordine che domina nella natura, rispettando il quale portano avanti la loro "società". Per la vendetta finale la natura si serve di un'alleanza con la quale intende sconfiggere completamente il protagonista: quando un giorno il protagonista vuole accendere un fascio di paglia per liberarsi delle formiche, improvvisamente si alza il vento e la raffica porta le faville dappertutto dando fuoco alla sua catapecchia. Il protagonista non riesce a salvarsi e soltanto in fin di vita capisce che solo in alleanza con l'ambiente circostante, con l'aiuto reciproco e il rispetto degli altri membri, l'uomo può sopravvivere.

Nella novella *La fedeltà del cane*, invece, si dimostra come i protagonisti vengono puniti perché non rispettano l'identità di altri membri della società e, invece, impongono la gerarchia tra di essi. Donna Giannetta e don Giulio sono amanti, mentre la moglie di lui, Livia, e il marito di lei, Lulù, formano un'altra coppia di amanti. Don Giulio dubita che sia possibile che l'atteggiamento che uno assume, il quale non è in accordo con il mondo della natura secondo il quale bisogna rispettare tutti i membri di una società, causi un'ingiustizia. Così quando viene a sapere che sua moglie lo tradisce con l'uomo con la cui moglie lui stesso ha un rapporto amoroso, non ci crede.

A questo punto l'autore introduce nella novella l'esempio di come i protagonisti, anche se consapevoli che la natura tende a stabilire l'equilibrio tra tutti i membri della loro comunità, vorrebbero tuttavia vendicarsi e ribellarsi per l'atteggiamento che non giudicano corretto nei loro confronti. Di conseguenza, don Giulio decide di spiare la moglie per convincersi che il suo atto, il fatto di averla tradita, viene punito. Ma mentre la sta spiando, incontra proprio l'amante della moglie, Lulù, con il cane di lei. La somiglianza tra il cagnolino fedele, d'una parte, e la moglie vile, dall'altra, diventa ancora più chiara quando don Giulio capisce che il cane si è legato con la stessa intensità sia a lui sia all'amante di lei. In più, i due uomini scoprono che la donna ha anche un secondo amante e che, quindi, sta tradendo tutti e due, sia il marito sia l'amante. Il problema diventa ancora più grande quando il marito e l'amante capiscono che probabilmente il cane dimostra la stessa gioia anche al giovane amante della donna, come quella che mostra quando vede loro. Questa fedeltà che il cane dimostra nei confronti della padrona e nei confronti di chi sta vicino alla padrona fa tanto infuriare il marito, dato che si tratta della stessa fedeltà che a lui viene negata dalla moglie. In questo testo ci troviamo così davanti all'esempio della gerarchia imposta da alcuni protagonisti agli altri con la quale questi dimostrano le loro preferenze, creando così una società di squilibri, e in cui le differenze vengono utilizzate come criteri per la formazione di una società verticale. Con la scelta che fanno, i protagonisti sono tutti traditi, nonostante siano tutti traditori, o, forse, proprio dato che sono tutti traditori. Arriviamo alla conclusione che, una volta che si perde la stabilità dei rapporti, si può riconquistarla solo seguendo le leggi della natura e liberando i protagonisti del loro egocentrismo, ovvero orientandoli verso il rispetto reciproco. La mancanza di farlo risulta con il fallimento e la sconfitta di tutti i protagonisti.

### 3. Vittime di Pirandello

Tuttavia, analizzando le novelle di Pirandello si arriva a capire che non sempre l'intenzione dell'autore è mettere in primo piano il rapporto tra il protagonista e la natura e la tendenza al raggiungimento delle regole della natura. A volte Pirandello mostra come nella narrazione l'equilibrio della natura non viene rispettato in società sottolineando le conseguenze di tale atteggiamento. Così, a volte, nelle novelle la trama si sviluppa intorno ad un protagonista che diventa la vittima di un altro, più forte, il quale strumentalizza colui che è meno forte per garantire la propria supremazia. Dato che i rapporti tra i protagonisti mancano di equilibrio, uno di loro viene sacrificato ed emarginato dalla società. L'esempio lo troviamo nella novella *Scialle nero*: Eleonora cresce suo fratello Giorgio facendogli da madre e sacrificando la sua vita per lui. Inaspettatamente rimane incinta con un giovane ragazzo, Gerlando. Dato che non vuole avere un rapporto serio con Gerlando, decide di abortire e chiede solidarietà al fratello. Tuttavia il fratello non la vuole aiutare, ma piuttosto cerca di convincerla a sposare il ragazzo ed evitare la vergogna. Contrariamente alla convinzione di Eleonora che il fratello avrebbe dovuto aiutarla, come lei, nel passato, l'aveva aiutato, Giorgio coglie il momento per dimostrarsi il

tiranno della situazione e la spinge verso le condizioni che lei vorrebbe evitare. Ad Eleonora non rimane che suicidarsi, per evitare la condizione della vittima. Questa problematica ci porta davanti all'esempio letterario in cui non scatta il meccanismo dell'aiuto tra i membri della società, ma la dipendenza reciproca dei membri viene contestata e un membro viene sacrificato per il benessere dell'altro.

Un caso simile si incontra nella novella *Candelora*. Loretta, chiamata Candelora, è la vittima di suo marito che a lei preferisce la sua arte; Candelora, non sentendosi amata, si suicida. Per il marito, lei rappresenta lo stimolo per esprimersi nell'arte. La sua femminilità è vista come una modalità attraverso la quale il protagonista si garantisce il successo nell'arte. Dato che il marito non si prende cura della moglie, ma l'abbandona, infrange una delle leggi della natura che spinge l'individuo ad occuparsi dell'altro per mantenere l'equilibrio nella società. Nella narrazione viene creato così «un polo forte», rappresentato dal protagonista, e «un polo debole», rappresentato da Candelora, e il loro rapporto, nonostante diversi tentativi di Candelora di opporsi a questi meccanismi, funziona nel dualismo dominio-oppressione. In più, a questo dualismo se ne aggiunge un altro, che rappresenta la base per il primo: il dualismo tra vita-arte (ovvero costrizione/libertà), in quanto la vita è sempre trattenuta dentro la forma e quindi costretta certo alcune limitazioni, mentre l'arte ha la possibilità di trasformarsi, cambiare attraverso diverse forme e superare le limitazioni. In questo senso è più viva della vita:

Ridere, intanto, di tutte le cose nate male, che restano a pensare nelle loro forme sgraziate o sconce, finché col tempo non crollano in cenere. Ogni cosa porta con sé la pena della sua forma, la pena d'esser così e di non poter più essere altrimenti. È appunto in questo il nuovo della sua arte, nel far sentire questa pena della forma. Sa bene lui che ogni gobbo bisogna che si rassegni a portare la sua gobba. E come le forme sono i fatti. Quando un fatto è fatto, è quello, non si cangia più. (Pirandello 2003:1095)

Visto che Candelora capisce che per essere amata dal marito, e per liberarsi dalla vergogna che si è procurata lasciandosi trascinare nel rapporto con un uomo ricco il quale, per ricambiare il fatto che Candelora era la sua amante aiutava il marito a promuovere la sua arte, decide che l'unica via d'uscita che le rimane è la morte. Siccome il marito di Candelora non ama la forma in cui è costretta la vita, ma la libertà che solo in arte si può raggiungere, lei deve suicidarsi per essere amata da lui e in questo modo liberarsi dai vincoli della vita. Quindi, per sottrarsi al dualismo oppressivo l'unica cosa che Candelora può fare è morire, e, morendo, sottrarsi dall'immobilità dentro la quale si era fissata vivendo e la quale non le permetteva di opporsi ad «un polo forte», ovvero al marito, di cui era la vittima.<sup>6</sup>

#### 4. Recupero dell'equilibrio

Anche se più frequentemente parla del dualismo vittima-oppressore, tuttavia in alcune novelle Pirandello propone il modello per uscire da questo dualismo: accettando dalla parte di tutti i membri un'etica di interdipendenza. Una di queste è la novella *La morta e la viva* la quale offre l'esempio del come si potrebbe recuperare l'equilibrio tra i protagonisti se tutti, nonostante l'atteggiamento ostile della società, accettassero la convinzione che non possono sopravvivere l'uno senza l'altro. In più, nella novella viene condannata la società caratterizzata dalla gerarchia verticale, nella quale alcuni membri vengono emarginati come le vittime, mentre altri li opprimono e, invece, viene rilevato che tutti i suoi membri dovrebbero accettare l'etica d'interdipendenza per assicurarsi un futuro equilibrato.

Nella novella le due sorelle sposano lo stesso uomo, Filippo, ma in diversi periodi della vita, una nel passato e una nel presente. La prima moglie di Filippo scompare dopo un naufragio così che tutti pensano che sia morta. Dopo questo fatto, dato che sua sorella, Rosa, da tempo viveva con lei e il marito, Filippo decide di sposare Rosa, per poter dare una madre alla figlia avuta con la prima moglie. Nel frattempo anche Rosa rimane incinta. L'equilibrio tra i protagonisti viene minacciato quando, improvvisamente, la prima moglie, Nina, ricompare.

<sup>6</sup> Ai protagonisti, quindi, si chiede di evolversi adattandosi al contesto in cui vivono, ed è proprio ciò che fa Candelora: «La vita, quindi, non si perfeziona, ma si evolve; ovvero, si adatta al contesto e si trasforma con esso. Anche la sfera sociale e quella morale rappresentano, in questa luce, una strategia adattiva.

La fortuna dell'evoluzionismo e dell'ecologia sta nel loro aver proposto due modelli potenzialmente aperti per la spiegazione di una molteplicità di fenomeni. [...]

Il paradigma ecologico-evoluzionistico non è dunque una metafora, ma un modello secondo il quale è possibile integrare le relazioni tra mente e natura. [...] Anche la vita morale, in quanto influenzata da questo contesto, rientra nell'ecologia della mente e ne rispetta le leggi». (Iovino 2006:61)

Ora davanti ai protagonisti si presenta il problema di stabilire quale delle due mogli sia quella legalmente sposata con Filippo e quale dei due figli sia quello che possa essere legittimamente riconosciuto. Una delle donne e uno dei figli dovrebbero risultare illegittimi secondo le leggi della società, dato che tutti e due i figli non possono essere iscritti all'anagrafe come i figli delle due donne sposate allo stesso tempo con la stessa persona. Ma nel testo si cerca di risolvere il problema in modo che non ci siano vittime e a favore di tutti i protagonisti: si decide che ognuna delle sorelle non passi lo stesso periodo nella stessa casa con il marito, ma che, mentre una di loro passa il tempo con lui, l'altra se ne allontani. In questo modo le due sorelle dividono tra di loro il marito e questa soluzione risulta accettabile per tutti. Quindi, si trova il modo per mantenere l'equilibrio tra i tre protagonisti e per evitare le vittime. Questa soluzione segue il modello dell'equilibrio naturale in cui tutti i membri sono equiparati e ognuno di loro dipende dall'altro. Si crea una società orizzontale, in opposizione a quella verticale, la quale, tuttavia, si fa sentire e protesta contro il modo di vivere dei tre protagonisti:

E allora tutto il paese, che prima aveva tanto commiserato il sacrificio della seconda moglie, vedendo ora che non c'era sacrificio per nessuna delle due, s'indignò, s'irritò fieramente della pacata e semplice ragionevolezza di quella soluzione; e molti gridarono allo scandalo. (Pirandello 2003:948)

Nella citazione si vede che la società dei protagonisti pirandelliani non accetta una soluzione che si allontani dai regolamenti tradizionali: essa respinge il tentativo di recuperare l'equilibrio infranto, preferendo creare delle vittime, ovvero sacrificare alcuni membri della società per vedere salve le regole di essa. Ma Pirandello vuole mettere a prova la società a cavallo tra i due secoli offrendo nel testo letterario un esempio di come si può salvare l'equilibrio sociale. In una tale società si accetta la dipendenza reciproca e di ognuno dei membri viene messo in evidenza proprio quello che lo rende particolare, senza infrangere l'identità di un altro membro della stessa società. Questa novella rappresenta, quindi, l'esempio di un'«evoluzione consapevole» in un testo letterario, richiesta proprio dall'ecologia letteraria.

L'esempio della dipendenza reciproca tra i diversi membri della società viene, invece, mostrato nella novella *Tanino e Tanotto*. Nonostante la presenza delle regole consuete in società, i protagonisti le respingono e scelgono un altro modo di vivere, organizzando diversamente i loro rapporti.

Alla sua base la novella ha la ricerca del modo come evitare le regole della società le quali inevitabilmente finiscono con le vittime. Annoiato dal matrimonio fallito e con la sua vita in città, il protagonista decide di lasciare la moglie e il figlio e di andarsene a vivere in campagna portando con sé un'altra donna. Già dall'antitesi marcata tra la città e la campagna si palesa che nella narrazione verrà mostrato come il protagonista cerca di adeguarsi alle regole della natura. In più, nella campagna gli nasce un altro figlio, avuto con l'amante. Ora davanti al protagonista si presenta il problema come mantenere i rapporti con tutti e due i figli con il consenso delle due donne, la moglie e l'amante.

Oltre all'opposizione tra la città e la campagna, nella novella si ha un'altra opposizione, tra i ricchi e i poveri, con la quale si esplicita la presenza della gerarchia verticale. La moglie del protagonista è ricca, mentre la donna con la quale sceglie di stare in campagna è una povera contadina. La differenziazione sociale produce le gerarchie e ciò preannuncia che il protagonista dovrà affrontare queste gerarchie se vuole evitare il meccanismo discriminatorio e le sue vittime. Una delle gerarchie è quella che si crea tra la moglie del protagonista e l'amante. L'amante conferma di sottostare a questa gerarchia nel momento in cui sceglie di andarsene con il figlio lasciando spazio al figlio del protagonista nato nel matrimonio,<sup>7</sup> dato che così accetta il ruolo della vittima. E non solo, lei comincia a sentirsi isolata dalla parte del protagonista il momento in cui non si può occupare del figlio malato del protagonista, il che conferma che sente il bisogno dell'aiuto reciproco tra tutti i membri della società.

Il cambiamento nei rapporti tra i protagonisti avviene quando un bambino si avvicina all'altro, volendolo conoscere, e portandogli i fiori. I fiori simboleggiano benevolenza e gentilezza del bambino, così che nel tentativo di un protagonista di avvicinarsi all'altro si scopre la volontà di uniformare tutti i membri della società pirandelliana, racchiusa in questa novella. Ciò si intuisce anche dallo stesso nome dei due bambini, Tanino e Tanotto, con il quale i due, nonostante provengano dalle due classi sociali diverse, vengono equiparati. A questo punto Bàrtola capisce che, grazie al rapporto amichevole che si è instaurato tra i due ragazzi, le verrà affidato di occuparsi del secondo bambino e così potrà svolgere il ruolo di madre nei confronti di tutti e due i bambini. E non solo, in questo modo la gerarchia tra i membri che esisteva prima verrà

---

<sup>7</sup> «Che fai? – le disse, vedendo il fagotto già preparato in mezzo alla camera.

- Se mi dà licenza, - gli rispose Bàrtola, con gli occhi bassi, - me ne vado.

- Te ne vai? Dove? Che dici?

- Me ne vado da mia madre. Che sto più a farci qua, se Vossignoria non ha più bisogno di me?». (Pirandello 2003:835)

annullata perché l'equiparazione tra i bambini sottintende anche l'equiparazione tra altri membri della società. Alla fine della novella tutti i membri hanno accettato gli altri rispettandosi a vicenda e creando in questo modo una società orizzontale in cui un membro dipende dall'altro e non può vivere senza di lui. Ciò significa che tutti scoprono l'identità nell'alterità e utilizzano le peculiarità di ogni membro a proprio favore, e non come il tratto distintivo tra di loro. In più, con questo atteggiamento sono state evitate le vittime che una società verticale inevitabilmente prevedeva.

## 5. Conclusione

L'analisi ha dimostrato che Pirandello è un attento osservatore dei rapporti squilibrati in società e a volte offre una soluzione per ritrovare l'equilibrio perduto. In alcune novelle i veri protagonisti e le vere vittime sono degli animali. In esse ci si rivolge l'attenzione al rapporto tra l'uomo e la natura e si mette in rilievo come la negazione delle leggi della natura, e il rifiuto di applicarle nella società, ha come conseguenza le vittime.

In altre novelle le vittime sono alcuni protagonisti che vengono sacrificati davanti ad altri protagonisti più forti di loro, dopo che alcune leggi di natura vengono trascurate e ne vengono anteposte altre. In questi casi viene distrutto l'equilibrio nella società e le vittime finiscono per essere sacrificate.

Infine, nel corpus pirandelliano è possibile individuare alcune novelle in cui l'equilibrio sconvolto tra i protagonisti forti e tra i protagonisti deboli viene ristabilito, proprio accettando le leggi della natura e trasportandole nel testo narrativo. Attraverso l'esempio delle novelle *La morta e la viva* e *Tanino e Tanotto* è stato dimostrato che soltanto accettando l'etica d'interdipendenza, e riconoscendo che i protagonisti riescono a vivere solo nell'unione con altri, accettandoli completamente nelle loro diversità e utilizzando queste per arricchire la vita di tutti i membri della società, e non servendosi come strumento di differenziazione, si può riacquistare l'equilibrio perduto. L'accettazione reciproca, alla quale alla fine si arriva nei testi letterari, ha come base una società orizzontale, diversa da quella alla quale sono di solito abituati i protagonisti pirandelliani.

## Bibliografia

- Artioli, U. (1997). *L'officina segreta di Pirandello*. Roma – Bari: Laterza & Figli.
- Boschiggia, E. (1993). *Guida alla lettura di Pirandello*. Milano: Mondadori.
- Iovino, S. (2006). *Ecologia letteraria. Una strategia di sopravvivenza*. Milano: Edizioni Ambiente.
- Luperini, R. (2000). *Pirandello*. Roma – Bari: Laterza & Figli.
- Mazzali, E. (1990). *Luigi Pirandello*. Firenze: La Nuova Italia.
- Meeker, J. W. (1997). *The Comedy of Survival. Literary Ecology and a Play Ethic*. Tucson: The University of Arizona Press.
- Mirmina, E. (1973). *Pirandello novelliere*. Ravenna: Longo.
- Nicolosi, F. (2003). *Pirandello e l'oltre*. Lanciano: Carabba.
- Nardelli, F. V. (1962). *Pirandello, l'uomo segreto*. Roma: Vito Bianco.
- Pirandello, L. (2003). *Scialle nero*. In Pirandello, L., *Novelle per un anno* (pp. 27-43). Roma: Grandi Tascabili Economici Newton Compton.
- Pirandello, L. (2003). *La fedeltà del cane*. In Pirandello, L., *Novelle per un anno* (pp. 180-185). Roma: Grandi Tascabili Economici Newton Compton.
- Pirandello, L. (2003). *Tanino e Tanotto*. In Pirandello, L., *Novelle per un anno* (pp. 832-837). Roma: Grandi Tascabili Economici Newton Compton.
- Pirandello, L. (2003). *La morta e la viva*. In Pirandello, L., *Novelle per un anno* (pp. 944-949). Roma: Grandi Tascabili Economici Newton Compton.
- Pirandello, L. (2003). *Candelora*. In Pirandello, L., *Novelle per un anno* (pp. 1092-1096). Roma: Grandi Tascabili Economici Newton Compton.
- Pirandello, L. (2003). *Vittoria delle formiche*. In Pirandello, L., *Novelle per un anno* (pp. 1222-1224). Roma: Grandi Tascabili Economici Newton Compton.
- Pirandello, L. (2003). *Alberi cittadini*. In Pirandello, L., *Novelle per un anno* (pp. 1373-1375). Roma: Grandi Tascabili Economici Newton Compton.
- Rueckert, W. (1978). Literature and Ecology: An Experiment in Ecocriticism. *Iowa Review*, 9,1,71-86.
- Villa, E. (1976). *Dinamica narrativa di Luigi Pirandello*. Padova: Liviana.
- Zangrilli, F. (1983). *L'arte novellistica di Pirandello*. Ravenna: Longo.

## Gender Differences in Language as Affected by Social Roles

Eglantina Hysi

“Aleksandër Moisiu” University, Albania.

Email: [eglantinah@hotmail.it](mailto:eglantinah@hotmail.it)

---

**Abstract:** Variations in language, besides other factors, seem to be direct and significant products of gender variable. The division of society into men and women, both being different and complex, is reflected in various forms in language which is the most important means of communication among them. The article will focus on variations related to gender of speakers. It will reveal differences that are found in the language of women and men, and will link these differences with the social roles that are assigned to them in Albanian society (and other countries) as well as with the socio-cultural environment where they live. Hence we will present gender-related peculiarities that give insight into the position of women and their status. It appears that rules laid upon them have made their language more hesitant, indirect and euphemistic. However, their speech inevitably reveals their expressive and emotional nature especially while relating to their children.

**Keywords:** women's language, social role, division of labour, euphemism, silence.

---

### 1. Introduction

The last several decades have witnessed an increase in research on the nature and existence of differences between men and women. One particularly popular question has been the extent to which men and women use language differently. This popularity stems, in part, from the fact that language is an inherently social phenomenon and can provide insight into how men and women approach their social worlds (Newman et al. 2008). This whole body of research also accounts for the lack of agreement over the best way to analyze language.

Coates and Johnson (2001) pointed out that the study of language provides a uniquely “social” perspective on the study of gender differences. Given that our understanding of other human beings is heavily dependent on language, the average differences in communication style that we report are likely to play a central role in the maintenance of gender stereotypes and may perpetuate the perception of a “kernel of truth” that underlies those stereotypes.

In this research we have chosen to examine gender differences in language use under the perspective of social roles. Social role theory was introduced by social psychologist Alice Eagly in 1987. It suggests that the sexual division of labor and societal expectations based on stereotypes produce gender roles. As such, women and men behave in gender-typed ways because the social roles that they perform are associated with different expectations and require different skills. For example, because women are caregivers for children more often than men, they exhibit more frequently traditionally feminine behaviors such as nurturance and a concern over personal relationships. Whereas men are more likely to be perceived as aggressive and competitive and have traditionally been viewed as financial providers. The gendered division of labor in society relies heavily on the allocation of women's function to the domestic, or private, realm and men's to the public realm.

It is a well-known fact that women worldwide have had since at the beginning of society organization a secondary status and as Trudgill puts it language simply reflects this social fact.

The paper will focus on linguistic variations related to the gender of the speaker. It will reveal differences found in the speech of women and men in areas such as lexicon and will relate these differences to the social roles assigned to men and women in Albanian culture and beyond.

### 2. Division of labour

It is only relatively recently that sociolinguists have returned their attention to gender. Coates (2004) explains that one of the reasons is linked with changes in the position of women in contemporary society. In traditional dialectology, the informants selected were typically non-mobile, older, rural and male (Chambers and Trudgill 1980:33). It was only in the late 1980s that studies appeared which concentrated on female speakers (Bate and Tylor 1988, Coates and Cameron

1989). Until relatively recently, men were automatically seen as the heart of society, with women being peripheral or even invisible (Coates 2004:5).

The pioneering book *Language and Woman's Place* of Robin Lakoff was the first influential account of women's language. We think that the publication of this book in 1975 was not coincidental given the fact that in the 1970s women continued to challenge traditional gender roles that confined them to work as child bearers and housewives, or kept them in routine, low-status positions. Lakoff (1973, 1975) strongly endorsed the idea that language reflected women's secondary status in society.

In Albania we must say that the first scholars to carry out research in this area are Eqerem Çabej and Gjovalin Shkurtaj. Academic Çabej, since at the beginning of his studies in the years 1940s of the twentieth century, first spoke of a "women's language" in the framework of euphemisms since women's language has been considered as hesitant. Following him, but widening the focus of study, linguist Shkurtaj has devoted special attention to gender as a sociolinguistic variable in his books *Sociolinguistics* and *Ethnography of Speaking*, bringing into view ethnolinguistic features of women's language in Albania.

In an effort to understand and to trace differences in gender discourse, it is necessary to shed light on the factors that lead to language stratification, such as mentality, traditions, but also the different temperament and character of women and men. Members of all societies evaluate both sexes on the basis of these oppositions: men are strong, women are weak; men are aggressive, women are passive, men are reserved, women are emotional, men are rational, women are irrational, men are direct, women are indirect, men are competitive, women are cooperative.

Many may object to these as actual descriptions, or as ideals to be aimed, but we all agree that these are part of the general image we have for men and women. These traditional oppositions of both sexes are closely linked with social division of labor, and, as we will see below, this is not simply a division of physical and mental labor, but of emotional labor as well.

Given that some activities require a greater strength and have a higher prestige, division of labor can be a division of values as well: across societies it is closely related to power and status. So, men, being physically stronger, have taken on jobs that require more physical strength, or have a greater social impact, through the disposition of goods and services. While the traditional position of women is seen at home and away from the public domain. Such a division of labour cannot but result in a social division of speaking, ways of expression, a greater frequency of certain words.

As aforementioned, there is an emotional division of labour between men and women. No matter where they are, women are expected more than men to remember birthdays, to heal the wounds of children, to offer intimate understanding. On the contrary, men tend to judge, to advise or provide solutions to mechanical problems. Women care for the needs of the others, as a result we find in their lexicon words and expressions associated with house and its furniture, especially with cleaning and laundry, feeding, caring for children, cooking utensils and etc.. Everything is included in the folk Albanian saying 'women's work and women's words' (Shkurtaj:1999).

Women, as bearers of children, are assigned not only to delivering them, but to raising and nurturing them, processes of which have made their language more empathetic. In literature as we know, it is talked about a difference of women's language, especially in terms of frequency of words with diminutive suffixes showing affection (Shkurtaj: 2004). Thus, part of their speech are expressions such as in Albanian: *hënz e mamit, yllka e motrës, doçkat e tua*. Parents in English speaking countries use more diminutives (*kitty, dogie*) too when speaking to girls than to boys (as quoted in Eckert 2003:16) and they use more inner state words (*happy, sad*) again when speaking to girls. Expressions of women closer to emotions of everyday life can also be found in Albanian: *Drita e syrit! Drita e shtëpisë! Ylli i motrës!*

Benevolent swearing (cursing followed by a compliment), is another feature of their language: *Të hëngërt mortja, sa e mirë je bërë! Të marrtë e mira të marrtë sa e bukur dukesh!*

The shyness that women show while approaching their children is also found in communication with others where they use tropes: *i jap gjoks fëmijës, e ushqej, i jap të pijë, qan fëmija për gjë*. To pamper their children, women usually use spoiling and pampering words by dropping the last syllable at the end of the word (apocope): *ma* (for *mami*), *ba* (for *babi*), *no* (for *nënë*), *xha* (for *xhaxhi*), *xhi, teto* (for uncle's wife on their fathers' side), *gege, dajkë* (referring to uncle's wife on their mother's side).

Observing the communication of children we find that it is achieved by the childlike model utterances (Baby talk). Baby talk is characterized among other things, by the shortening of syllables and sounds at the beginning of words, a phonetic phenomenon known as aphaeresis. This way of communication is facilitated by women to ease pronunciation, because young children find it difficult to articulate vibrant consonants and elongated words.

Thus, wanting to identify with the language of children, mothers use variants such as: *piti i mamit* (instead of *shpirti*), *eja te mushi* (abbreviation of *Mamush*), *lola logël* (*dora e vogël*). Such features would sound weird in men's language,



because wanting to maintain 'the authority' of the man, they do not caress their children and are not involved in the process of feeding and raising them.

It is special elements as such that build communication with the child and mother, which make the language of women significantly different from that of men, in an important aspect of language such as vocabulary.

### 3. Assertiveness-The Power of Expression

The relative status that is assigned to men and women in society has affected the power expressed through language, as the most important means of communicating ideas and opinions. And it is women who are faced with an old tradition, in which their social role has been reduced. Restrictive mentality has dictated them where, when, how and with whom they could speak. In an effort to achieve more freedom of expression, women seem to have looked for linguistic devices that give them more power and better support their opinions.

In his chapter dedicated to women in the book entitled *Language: Its Nature, Development and Origin* (1922), Jespersen found that women widely used adverbs. He argues that this is a distinctive trait: '*the fondness of women for hyperbole will very often lead the fashion with regard to adverbs of intensity, and these are very often with disregard of their proper meaning*' (Jespersen 1922:250).

Other linguists as well have criticized this feature of women's language; they consider it as an artificial tool by which women aimed to express their power of thinking. The excessive use of adverbial forms is gently mocked by Jane Austen in *Nothanger Abbey* (1813), in the speech of Isabella Thorpe.

"My attachments are always *excessively* strong."

"I must confess there is something *amazingly* insipid about her."

"I am so vexed with all the men for not admiring her!- I scold them all *amazingly* about it." (as cited by Coates 2004:11).

The use of adverbial forms of this kind was a fashion at this time, and was associated with women's speech.

The little adverb *so* in conjunction with an adjective is more frequent in women's language than in men's, as noticed by both Jespersen and Lakoff. However, they provide different explanations for this gendered-preferential usage. '*Women-explains Jespersen-much more often than men break off without finishing their sentences, because they start talking without having thought out what they are going to say*' (1922:250). Referring to *so* Lakoff draws a distinction between these two sentences: *I like him very much* and *I like him so much*. To say the former would be to show your feelings quite openly to a great extent. Whereas it is safer to use the latter for it weasels on that intensity. That is because, according to Lakoff, women are not to disclose strong emotions, or to make strong assertions.

It appears that men do not face such problems. In conflict situations, for example, when they want to express their physical strength they accompany it quite often with verbal violence. It is namely men who tend to use 'vulgar language'. And we would like to focus a little bit on this subject, because the belief that women's language is more polite, more refined-in a word, more lady like-is very widespread and has been current for many years (Coates 2004:13). Presumably there have always been taboos on language, but it looks as if the courtly tradition of the Middle Ages, which put women on a pedestal, strengthened linguistic taboos in general, and also condemned the use of vulgar language by women, and its use by men in front of women.

The belief that women are limited in the use of vulgar language is still widely held. Lakoff made the following observation:

a. *Oh dear, you've put the peanut butter in the refrigerator again.*

b. *Shit, you've put the peanut butter in the refrigerator again.*

Lakoff (1975:10) comments that it is safe to predict that people would classify the first sentence as part of 'women's language', the second as 'men's language'.

Jespersen with regard to swearing says: '*There are great differences with regard to swearing between different nation; but I think that in those countries and in those circles in which swearing is common it is found much more extensively among men than among women: this is at any rate true in Denmark*' (1922:246).

Avoidance of swearing and of 'coarse' words is held up to female speakers as the ideal to be aimed (as is silence, as we shall see below). If a female speaker talked rough she would be scolded, and an instant critical reaction would follow: 'Hey, but you're a woman!'. It is also clear that, as Maltz & Broker (1982) outline, the socialization process through which boys and girl proceed is different. Girls learn to be accommodating, compliant, and polite, while a greater degree of assertiveness, competitiveness and aggressive linguistic behaviour is tolerated from boys.

As the result women's speech is filled with hesitations, euphemisms; women deliberately avoid vulgar language. Because of their social role women tend to be polite and socially correct in behavior; they are more likely to be reserved and elegant in their linguistic behaviour than men.

As Lakoff puts it: *'Women don't use off-color or indelicate expressions, women are the experts at euphemisms'* (1975:55). Albanian scholar Cabej held the same view. In clearly defining euphemisms he stresses their social aspect; one of the motives that leads to the use of euphemisms is fear for not wanting to hurt somebody's feelings and shame. Euphemisms may be used to hide unpleasant or disturbing ideas, even when the literal term for them is not necessarily offensive. This is the case of euphemisms on taboo words such as those on sexuality. Sometimes, using euphemisms is equated to politeness.

#### 4. Silence and verbosity

Proverbial aphorism that speech is silver, but silence is golden seems to apply especially to women. They are so often reminded about that golden silence that not only reflects sagacity but also-and even more importantly-obedience and submission (Edwards 2009:138). The image of silent woman is often held up as an ideal-*'Silence the best ornament of a woman'* (English proverb).

This idea is also supported by the theory of 'muted groups' proposed by anthropologists Shirley and Edwin Ardener (Ardener 1975, 1978). Women (and minorities) are considered as muted groups because they are considered to be lower in status or subordinates than the dominant groups. They cannot easily express their perceptions or experiences. These perceptions and experiences must first be filtered through or translated into the dominant (patriarchal) system of communication. Women (and members of other subordinate groups) are not as free or as able as men are to say what they wish, because the words and the norms for their use have been formulated by the dominant group, men (Kramarae 1981: 454).

In many cultures women are silenced by rules or customs laid down by the dominant group (e.g. women are not supposed to speak in synagogues or other religious settings). Restrictions on expression for women have been recognized in Albania as well: *'Woman ... is suppressed and suffocated from the heavy yoke of education that does not recommend and order other than prohibition: Don't touch, don't go out, don't speak, don't laugh, don't do this, don't do that as educator wishes'* (Stermilli 1982:64). And despite the overwhelming desire to change things woman has no other choice but to remain subject to social constraints: *'But, alas, am not a guy and as woman I cannot utter a single word'* (Stermilli 1982:51).

Limited and patriarchal mindsets have emerged in Albanian families, and have imposed on them the same linguistic behaviour. Social constraints in communication were observed in wedding ceremony and although they have become less rigid, they have accompanied the young brides throughout their life in the new family. The tradition of silence has had a wide geographic spread, from south to north, and time span too. The earliest evidence is found in the work of Edith Durham (1990) who said that after the first week of the ceremony, the bride could be seen at any hour of the day and should not say a word, but must stand still, just as much frozen as before.

Silence is a fine Jewel for a Woman; but it's little worn. (English proverb)

Although silence is the desired state for women, there is an age-old belief that women talk too much. Dale Spender once suggested an explanation: *'The talkativeness of women has been gauged in comparison not with men but with silence.....then any talk in which woman engages can be too much'* (Spender 1980:42). Some studies find that in the domestic sphere, where women are often seen as being in charge, they are more talkative and this has become a peculiar feature of them. Maybe that is also because they perform work that cannot be hampered by conversation. Men in most cases do work that requires energy, and concentration. Speaking in this case would undermine their progress, so they are more reticent to work.

In formal and public contexts the assumption is that men outrank women. The basic trend is for higher-status speakers to talk more than lower-status ones. In most contexts where status is relevant, men are more likely than women to occupy high-status positions. As the result, they speak more.

However, it is not only social division of labor that makes women more verbose. There are also influences of temperament and their psychology that reflect differences in both sexes (Shkurtaj 1999). Women because of their nature are more expressive in communicating their feelings and intense experiences, so they cry, sigh and curse more than men. Thus, when we hear curses such as: *Të futsha në dhe! Të hëngërt mortja! T'u shoftë dera! Mos të pastë jot'amë!* we cannot but automatically attribute them to the speech of women. This does not exclude the fact that there are also men who speak a lot and curse. Depending on the provinces they come from and mentalities men curse as well, but this does not mean that cursing has become a distinct feature of their speech.

Setting variables such as the gender of participants, topics being discussed, status and age variations all contribute to the differences observed in the speech of men and women. While different studies (considering different variables) provide different results regarding women's verbosity, it seems that at least they agree on the fact that women's language is more affiliative, men's more assertive.

## 5. Conclusion

Men and women behave differently in social situations and take different roles, due to the expectations that society puts upon them (including gender stereotyping). Language as a social phenomenon inevitably reflects this. Studies on gender and language have shown differences in women and men that are brought about by their different position in the social structure, encountering differential opportunities and constraints. As a result, women's language is described as hesitant, refined, euphemistic but also affiliative and compassionate.

It is true that gender differences in power are perceived to be eroding. As women gain more access to positions typically associated with power, their social role seems to be changing. However, this does not necessarily imply that women have overcome all barriers that impede their communication. Positive changes are to be expected so that men are not exclusively directing the communication rules.

## References

- Ardner, Sh. (1975). *Perceiving Women*. London: Mallaby Press.
- Ardner, Sh. (1978). The nature of woman in society. In Sh. Ardner (Eds.), *Defining Females*, (pp. 9-48). London: Cross Helm.
- Bate, T. and Taylor, A. (1988). *Women Communicating: Studies of Women's Talk*. Ablex, Norwood, NJ.
- Coates, J. (1993). *Women, men and language*. (2<sup>nd</sup> ed), London: Longman.
- Coates, J. (1996). *Women Talk: conversation between women friends*. Oxford: Blackwell.
- Coates, J. (1998). *Language and Gender: A Reader*. Oxford: Blackwell.
- Coates, J. and Cameron, D. (1989). *Women in their Speech communities*. London: Longman.
- Coates, L., & Johnson, T. (2001). Towards a social theory of gender. In W. P. Robinson & H. Giles (Eds.), *The new handbook of language and social psychology* (pp. 451–464). New York: Wiley.
- Çabej, E. (1949). *Disa eufemizma të shqipes*. Tiranë: B.I.SH 1.
- Çabej, E. (1978). *Disa eufemizma të shqipes*. In *Studime Gjuhësore*. Vol IV. Prishtinë.
- Chambers, J.K. and Trudgill, P. (1980). *Dialectology*. Cambridge: Cambridge University Press.
- Durham, E. (1990). *Brenga e Ballkanit dhe vepra të tjera për Shqipërinë dhe shqiptarët*. Tiranë.
- Eckert, P., & McConnell-Ginet, S. (2003). *Language and Gender*. Cambridge: Cambridge University Press.
- Edwards, J. (2009). *Language and Identity*. Cambridge: Cambridge University Press.
- Jespersen, O. (1922). *Language, Its Nature, Development and Origin*. London: George Allan & Unwin.
- Kramarae, C. (1981). *Women and men speaking: Frameworks for analysis*. Rowley, MA: Newbury House.
- Lakoff, R. (1975). *Language and Woman's Place*. New York: Harper & Row.
- Maltz, D.N., & Borker, R.A. (1982). A cultural approach to male-female miscommunication. In J.J. Gumperz (Ed.), *Language and social identity* (pp.196-216). Cambridge: Cambridge University Press.
- Newman, L., Groom C. J., Handelman, L.D., Pennebaker, J.W. (2008). *Gender Differences in Language Use: An Analysis of 14,000 Text Samples*. *Discourse Processes*, 45. (pp.212). Taylor & Francis Group, LLC.
- Stërmilli, H. (1982). *Vepra letrare*. Tiranë,
- Shkurtaj, Gj. (2004). *Etnografia e të folurit*. SHBLU: Tiranë.
- Shkurtaj, Gj. (1999). *Sociolinguistika*. SHBLU: Tiranë.
- Trudgill, P. (1974). *Sociolinguistics*. Harmondsworth: Penguin Books.

## Albanian Issue and American Diplomacy in the Paris Peace Conference in the Light of New Historical Sources

**Majlinda Peza (Perriu)**

Ph.D.Candidate University of Elbasan, Albania

E-mail: [majapeza@yahoo.com](mailto:majapeza@yahoo.com)

**Andriola Morina (Kambo)**

University of Tirana, Albania

E-mail: [jolamarina@yahoo.com](mailto:jolamarina@yahoo.com)

---

**Abstract:** Through the accumulation of the facts and the interpretation of the historical sources, this scientific work tends to give a full picture of the valuable contribution of american diplomacy, it's representative at the Paris Peace Conference, president Wilson and american public opinion toward the albanian issue in the years 1919 – 1920. In respect of this approach, we have seen a period of extraordinary awareness of the american press of the time in favor of the albanian issue, direct result of the valuable contribution of the albanian diaspora in USA., organized in the federation "hearth". simultaneously, as a representative of this federation, we have to mention the direct commitment and contribution in defense of the albanian issue, Fan S. Noli, which is evidenced in his meeting with president Wilson, taking his promise which he will make a reality in the Paris Peace Conference. This research will be based on analysis of historical resources before and after years '90, seeing from comparative context.

**Key words:** Paris Peace Conference , "Vatra" federation, albanian diaspora, president Wilson.

---

### 1. Introduction

Experience of establishing consolidating Balkan States in XIX-XX centuries, showed that the selection and determination of the allies has been one of the key factors and in some cases determining the direction of flow of political and economic development of these country. In this context, on the eve of the opening the paris peace Conference, with the Albanians tried all means to find and create new allies, who would arise in defence of their rights.

Referring to relevant documentation, found that the Albanian-American relation have their start somewhat later in the second half of XIX century. More specifically, the first contacts of the Americans with Albanians has been in 1886, when the Americans has come as a religious missionaries, while the first Albanian immigrants in America dates since 1876. But, we can say the Albania and Albanians are recognized by Americans in advance. According to the documentation of that time, it is found a very interesting fact according to which, Abraham Lincoln, has had enough knowledge for Albania and Albanians. In an autograph awarded in 1853 Admiral Millo says that " *The whole peninsula should be joined under the axis of a single nation... of Fiumes up at the mouth of Kataras to subsequently throughout Dalmatia. All that needs so unaffected join to Albania*"

Also former President Theodor Rusvelt was very aware of the Albanian issue and the Adriatic. In the speech he made during the First World War, he ranked Albania among the countries that needed help and at the same time saying that should guarantee the independence of Albania by the great powers. Knowledge of Theodor Rusevelt for Albania and Albanians were also confirm even by Fan Noli in a meeting with him in 1918 where he says: " *Albanian's independence must be renewed in future peace Conference and placed under the care of allied powers impartially. Will make any attempt to allow me my options so that the decisions of the conference are in full compliance with the aspiration of the Albanian brave people*". In an article published in the "Adriatic Review" in English, said that the list of friends of Albanians were added even two prominent names that are V. Uillson and Theodor Roosevelt".

But if I refer to the most important events that will affect Albanis and Albanians in 1912-1918 we are of the opinion that the interest of Americans for Albania was minimal, even during this period, the independence of Albania has been officially recognized by the united States of America.

## 2. Albanian Status in the Paris Peace Conference

In November 1912 Albanians declare the independence and later the Albanian state was born and lived for a short period of time as a half state, as a result of the compromise of the European Great Powers at the Conference of Ambassadors in London in 1913. Specifically, in 1914 on top of this state will be put Princ Wied, who with the start of the First World War will leave Albania, in September 1914. We can say that the only thing that Wied made for Albanians was not fielded Albania in no European alliances that were created in that time, despite the efforts of Austro-Hungaria to drag him behind the counter Serbia. After the departure of Wied from Albania, the Great Powers which were guaranteed of the Albanian State, in cooperation with Balkan states of Albania turned into a battle ground. The researcher Georges Castellan in one of his studies of Balkans expressed in this way the conditions of Albania during the First World War: *"Its territory was subjected to spare the Great Powers. Antanta used it as a bait to lure Greece and later Italy to her camp."* (Castellan, 1991). In this context, the start of the First World War Albanian State ceased to exist and Albanian territory remained occupied until the end of the First World War.

The fact that the first project of the US State Department, Albania is classified along with Finland, Iceland, Poland and Czech-Slovak State being named as new powers created or known existing at the Peace Conference, apparently constituted a positive premium for the future of the Albanian State. But being in the same source we conclude that although eventually was named as such, Albania was excluded from the right of signing the Peace Treaty to justify the remark that the attempt to create an Albanian State in the years 1912-1914 were not successfully implemented. In this source is expressly stated: *"Albania has no international status such as to justify admission to Peace Congress, but its interests will be protected by the committee of powers in which to represent even the United States."* (National Archives Washington D.C, 1919)

Seen from this way as well as before the paper confirm us once again the fact that the Albanian interest in the Peace Conference will not be protected by Albanians but from Great Powers, this time with a change in the interest of Albanians (as was found later), one of which would force a new political actor across the ocean in which Albanians will keep their hopes for justice.

## 3. What did Albanians waited from Peace Conference?

At the Paris Peace Conference of Albania will be represented by a official delegation headed by Turhan Pashe Permeti, in the quality of the Prime Minister of the Albanian government. In February 1919 the delegation will show at the Peace Conference two memoranda respectively on 12 and 24 February. Their requests were basically political program of the Albanian national Movement adopted at the Congress of Durres, product of which was the government of Prime Minister Turhan Pasha. But do not forget the fact that the Albanian State and the government of Durres Congress had not received the national recognition by the Great Powers and also from the neighbouring countries. This fact made even much more difficult the activity of the official Albanian commission.

An important role in the framework of the Albanian delegation in Paris have played the representatives of Albanian catholic clergy, among Luigj Bumçi whose after the removal of Turhan Pashe Permeti will be placed on the top of the Albanian delegation in Paris. As a secretary he will choose Albanian poet father franceskan Gjergj Fishta, whose contribution was never appreciated in the Albanian historiography before 90's. Simultaneously as members of this delegation results Luigj Gurakuqi, Mihal Turtulli, Mehdi Frashëri, Mehmet Konica and elbasan patriot Lef Nosi. Also, Mihal Turtulli and Mehmet Konica who took part even in Congress of Durres where Mehmet Konica was appointed foreign minister of this government of the national congress, representing the American diaspora.

In March 1919 Luigj Bumçi and Gjergj Fishta will meet in Rome with Pope Benedikti XV to whom will ask to intervene to the Great Powers in the defence of the Albanian case. But in this first meeting with Pope they fail in any concrete result promises except received his blessing. At this meeting Pope addressing Gjergj Fishta said: *"What would they say century, when they see, kuer të shofin një frat të vobek ndër rrethet që të naltueshme?"*, and he continues: *"I wish that your mission come up with utility, so I'll give you a special blessing"*. (Peters, 2010). But in December 1919 Luigj Bumçi this time accompanied by Mehdi Frashëri will take another journey to Roma and will meet again with different audience Pope benedikt XV, the result of which will be the promise taken by Pope to intervene at England and U.S Ambassador in favor of the Albanian issue more specifically due to the requirements of L. Bumçi to save both the Albanian provinces Korca and Gjirokastra which were threatened by Titoni-Venizellos agreement. (Peters, 2010).

Even the figure of Mehmet Konica and Mihal Turtulli in the Albania Historiography before 90's was not evaluated objectively. In the Publication of Academy of Science of RPSSH of 1984 but even of the 2007, it is said that Mihal Turtulli

and Mehmet Konica did not appear in the Peace Conference to demand full independence of the Albanian State. (Academy of Sciences of Albania, 2007).

While referring to the new historical sources that Mehmet Konica ascertained in an interview with Italian newspaper 'Corriere d'Italia' states that: "*The hall and the independence for the entire Albania. This is the base on which to speak at the Peace Conference by developing our requirements*" (Newspaper "Sun", Boston Mass, 1919).

Also at the Paris Peace Conference, besides the Albanian delegation headed by Turhan Pasha will be represent the delegations of the Albanian Colonies in exile. More specifically the delegation of the Albanian federation "Vatra" in America, the delegation of the Albanian colony in Rumania represented by Prince Gjika and Pandeli Evangjeli, delegation of the Albanian colony in Turkey represented by Halil Pasha, delegation of the political parties and Albanian women in America represented by Parashqevi Qiriazhi and National League delegation to America represented by Mihal Grameno. But, can not leave without mentioning the presence in the Paris Peace Conference of Esad Pashe Toptani, one of the most controversial political figures of Albanian historiography and foreign. He appeared in this Conference with the status of single representative of the Albanians, the president of the Albanian Government in exile and also being declared ally of the Antant Powers during First World War.

Initially the opening of the peace Conference, official Albanian delegation in Paris demanded the recognition of the Albanian State in its ethnic boundaries, seeking to be correct injustice done by this Conference of Ambassadors in 1913 in London. But referring to the meddling of the Great Powers which were part of the European Diplomacy since the beginning and during the course of the Conference and the fact that neighbouring claims (Greek claims of Venizellos and Serbian ones) had the maximum support of England and France, these hopes of the Albanians not only remained a dream, but also Albanians lands were continuing to serve as compensation for a victorious powers plunder of the First World War.

Seen from these perspective, we can say that Albanians in this Conference will mostly try to protect the territorial sovereignty in its borders in 1913, borders on which were being planned new agreement fragmentation. Also on their demands to determine the most depending on the new political conjunctures that will be created with the start of the Conference, will be seen a tendency to move from the collective guarantee of the Great Powers determined in 1913 towards the authorization of a single power.

The range of issues that would solve many of the Paris Peace Conference, one of the most delicate and directly linked the fate of the Albanian territories was "*The Adriatic issue*". That's how the head of the Italian delegation in Peace Conference Tomasso Titoni said: "*The issue of the authorization of the Albanian can not be detached from Adriatic issue and the concessions that were promised to the Italians in Dalmaci, which are two inseparable cases.*" (Paris Peace Conference, Volume VIII, 1919).

Adriatic issue was one of the most nodes of this Conference as it carried in itself two contradictory components with each-other: by one side was the Secret Treat of London (year 1915) and by the other side, was the program of 14 points of President Wilson, where one of the most important principles of self-determination of people and nation. Rightly Prof. Arben Puto will call the Paris Peace "A Different Peace". (Puto, 2009)

#### **4. The attitude of the Balkan states and of the Great Powers to the Albanian issue.**

At the Peace Conference, Greek Prime Minister E. Venizelos, came up with the historical claim to the Southern Albanian land, for the annexation of Korca and Gjirokastra using the old argument to identify the ethnic religion. The second argument leading no less concerned with the Treaty of London 1915, that Italy should not stretch the opposing Greek claims to the south of Albania. This will be the main reason that the Greek government would not oppose Italian claims in the Conference. (Swire, 2005).

In differenc the Greek side of the Yugoslav government representatives, not submitted their territorial interest directly. Yugoslav delegation at first said the independence of Albanian's borders 1913. This relative position held by Yugoslavia, was about the fierce rivalry Italo-Yugoslav (Serbo- Croatia Kingdom, Slovenia) in Adriatic and in Albania. Yugoslavia supported the idea of independent Albania to the fact that it could be more comfortable with a weak Albanian state, than with a big Italian strength in the Albanian territories. Precisely, this constituted the main argument for demanding the Albanians borders of the 1913. But the Yugoslav attitude has even the other side of the coin that connected it with her vital interests under the justification that, in any other country will be recognized protectorial borders on Albania in 1913, Yugoslavia will require its strategic part of treaty of London (April 1915). This conditional approach of Belgrade plugges wild rivalry between the two powers (Rome- Beograd), that linked the division of the lands of the former Austro-

Hungaria, to which both sides claimed. Thus, the previous austro-hungarian rivalry for Albanian, was replaced with the Italian- Yugoslav.

After changing the Italian government, not having success in the Southern Adriatic issue because of the disagreement of the American delegation, Italian foreign minister T. Tittoni changed tactics in its policy stance to the Albania issue. The result of the new tactics of the Italian Minister was the agreement of 29 July 1919 between him and Venizelos. Here is how the researcher consider M. Macmillan agreement between Italy and Greece. “ *The agreement was a way of an old style traders* ”. ( Macmillan, 2006). The two countries had mutual interests for support that should give to each-other in the Peace Conference. Italy should support Greece to get back Vorio-Epirus, as well as Greece should support Italy on the mandate of the Albanian State and Vlora sovereignty. According to M. Macmillan “ *The symbol of the new spirit of compromise should be built by Vlora-Athens railroad* ”. ( Macmillan, 2006 ).

If you will refer to the U.S position, Britain and France to the Albanian issue, conclude the fact that they do not share the same opinion on the political future and territorial of the Albanian state. As regards the opinion of the British delegation to the Albanian political future refer to the dialogue between President Wilson and Ilojd Xhorxh , where they declared that perhaps Albanians should have their independence stated Ilojd Xhorxh: “ *Really do not know what they would do with it, but to expect from each other throats. Albania will become like the highlands of Scotland in the 15<sup>th</sup> century* ”. Dispite the differences that they have in the Albanian issue, they felt the need to fall in consensus, which was the product of the memorandum of 9 december 1919. In this memorandum they tried to give a solution to the Adriatic issue by presenting at the same time even their point of view about the claims of three neighbouring states of Albania. In the Franco-British-American memorandum in the 5-6 points for Albania it expressly stated that: “ *To Italy will be given by the League of Nations the mandate for administration of the independent state of Albania.... Albanian borders in North and East will be those determined by the Conference of London in 1913. The southern boundary will be decided by negotiations.... City of Vlora along with the hinterland in a necessary for a protection and its development will be promoted to a full sovereignty of Italy*.” ( Magazine Challenges, nr.3, 2004). To the memo got joined even a Memorandum drafted by the representatives of three governments, the U.S, France and Great Britain, in which modalities were represented on basis to which Italy would exercise its mandate over Albania.

But a month later, on 13 January 1920, in the absence of the American party, between Italy, France and England, was reached another compromise on which Albania will be partitioned according of the Secret Treaty of London. Fiume will pass Italy, Yugoslavia will take Northern part of Albania with its center Shkodra, which will enjoy a kind of autonomy. Yugoslavia's opposition to this treaty and its contact with the American delegation, led the response and ultimate rejection set by Wilson, who insisted on the position of the memorandum of 9 december 1919. Its is interestingly, his letter addressed to the French and the British prime Minister, where he wrote that to give solve to the issue but not at the expense of Albania. ( Milo, 1992).

As a conclusion, Paris Peace Conference for almost a year of talks, among many debates, proposals collusions and disagreement was dragged for almost a year ( at the beginning of the Paris Peace Conference) the sovereign right of the Albanian people win in 1913. Moreover, this Conference did not heed the demands of the Albanian delegation to the Albanian regions extracted in 1913 unjustly. This peace was for Albania, a reconfirmation of the new old injustice.

## 5. The contribution of the Albanian diaspora in America.

The end of the First World War, set in the motion the “ Vatra” federation in the U.S, with the only intention to sensitized international public opinion against the Albania issue expected to be treated at the Peace Conference that will meet after the First World War. For this purpose, to procede the end of the war, “ Vatra” would organize its sixth assembly which was held from 1-12 July 1917, determined to help the Albanian issue. First, in this assembly was decided to increase the number of its representatives in Europe , where Mehmet Konica as a delegate of “ Vatra”, near the forums and European and political circles was selected even Mihal Turtulli and Nikola Kasneci. The second decision was taken at the parliament had to do with the fact that the Albanian diaspora of United States required the delegate to fight to provide in all kind of legitimize ways by the Great Powers and the Peace Conference, an Albanian with clear ethnisc boundaries, with royal independence and make known the rights of Albania in the European press conference that could be organized in the modern world. ( Duka, 2007 ).

In the light of these efforts another assembly will be held in July of 1918, from which will come out contradictions between the members of this federation. With the evolution of the events, there are two notable trends identified in terms of attitude that they must hold against Italy. First current represented by Koste Cekrezi, supported the idea of a political moderate and tolerant of Italy and the second current supported by Fan Noli, expressed the opinion that Albania must hold a final decision against Italy over Vlora and the mandate over Albania. ( Meta, 2001). Actually Fan Noli was against

any kind of protectorate over Albania, but did not exclude the possibility of a U.S aid to Albania within normal limits, meaning deployment in Albania on a number of American volunteers, accompanied by a small military force to maintain order. But above all, the main task of the initiators of "Vatra" federation in the U.S was concentrating its efforts to win the American diplomacy, and also the American opinion in defence of the Albanian issue. Exactly in the years 1918-1919 in Albanian political circles takes place the idea for an American mandate over Albania.

On 5<sup>th</sup> may 1919, the newspaper "The New York Tribune" published an appeal sent to the Peace Conference to seek again an American mandate in Albania by saying: "*America can not refuse such a request on behalf of humanity*". ( Magazine "The Adriatic Review", 1919).

Also a month later, the newspaper "Sun" reported that : "*The Balkan states had the support of the Great Powers and not our country. If U.S would agree to take over Albania for a short time then will advance Albania that will disappear any foreign intrigue*". ( Newspaper "Sun", 1919)

In his autobiographys Noli shows that he took part in celebrating the America independence day, in july 1918 together with representatives of about 30 other nationalities, day in which president Willson has his famous speech of 14 points. ( Puto, 2009). In Nolis writing in the interview "*The Adriatic Review*" in semptember 1918, Fan Noli pays attention to the conversation he had with President Wilson. He writes that "*The President listened with interest and kindness his request and assured him for the sympathy and solemnly expressed his determination to help Albania*". Noli adds that "*The President knew the fact relating to Albania, was convinced of the justice of her case and would undoubtedly raise his voice in the Peace Conference in support of the rights of Albania*". ( Noli, 2002).

In his memories F. Noli mentions the conversation that he had with Mrs. Wilson where he says that: "*Albanian ladies told me to please you to remember Albania, as a poor country, without friends and without any support, but do not cry for hunger and misery that lift, but for her loss. The situation in Albania is too complicated*." President Wilson who heard Nolis conversation with Mrs. Wilson, returning from Nolis said: "*For real the Albanian issue is very complicated*". The only hope for the Albanians is America and you Mr. president- said noli. According to Noli, the promise of Wilson was this: "*I have a voice in the Peace Conference and that voice will be used also for the rights of Albania. That voice is sufficient for Albania and we will be happy and quite safe for our rights- answered*". ( Duka, 2007).

In the functions of all efforts to secure the American influence at the Peace Conference, the federation "Vatra" sent as its representative at this conference Mr. Telford Erickson, who will be present at the debate for Greek interests in the Albanian territory. He expressed his idea that "*America would not be true to yourself if he would sign a treaty that would legalize the occupation of Albanian territory by the Greeks, Serbs and Italians*" and also expressed the idea of many Albanians. In 13 may 1919, the newspaper "The Evening Post" of New York published an appeal of T. Erickson for an American mandate in Albania. In the same month the newspaper "People" wrote: "*Albania calls America. Albanian delegation in Paris Peace Conference requires that America leads Albania in the first steps of political life*". ( Newspaper "People", 1919) .

Representatives of "Vatra" by an article in the newspaper "The Sun" in 3 June 1919, asks Italy to resigns by the mandate over Albania in public. ( Newspaper "Sun", 1919)

But besides "Vatra" federation, the Albanian diaspora of America was also created a different political association named "Political Party" the program of which was based on the struggle for the creation of an ethnic Albania. On the top of this association was one of Qiriazis sisters, Sevasti Dako (Qiriazis) the wife of Kristo Dakos one of the most prominent members of "Vatra" until 1918. ( Duka, 2005). In the same source said that the association in question was created as a fraction of the "Vatra" federation , the direct product of fierce rivalry between Nolis group and Kristo Dakos group within "Vatra". Also the lack of images of Fan Noli in Paris Peace Conference, the historian Paskal Mile relying on data and resources of U.S State Department of that period and the correspondence between the U.S diplomats at the Peace Conference explains the divergences between Fan Noli and Kristo Dako which had reached as far as Sevasti Dako and her sister and Kristo Dako to be reported to U.S American officials on information about Noli. In this context, the opinion of American officials rely on these information was that Noli was suspected as an Austrian or Greek agent. For this reason Nolis visa got refuse by the State Department to go to Paris. ( Magazine Challenges, 2004). But the absence of Fan Noli in Paris does not overshadow his contribution to the Albanian issue in this period, a contribution which today is considered unquestionable. But what should be emphasized concerns the fact that, in many cases, conflicts and personal ambitions of the Albanians have destroyed more jobs than those of others.

## 6. The Evolution of U.S diplomacy towards the Albanian issue

American politics became a paramount factor of developments in Europe, when the U.S entered in the First World War. U.S President Wilson in Paris Peace Conference (1919) had a strong position. During the Conference, he constrantly



refers to the Secret Treaty of London 1915, which set partition to Albania, inconsistent with the principles that he had decided to defend the Peace Conference and to create a new international order. Initially, the project of American experts in their reports suggested the creation of an autonomous Albania which would break the southern Yugoslavia that would pass Korca and Gjirokastra in south would pass to Greece. They pose some new reasons but certainly not obsolete, which justify the annexation of Albanian territories of Yugoslavia and Greece. Firstly they need Yugoslavia for a port on the Adriatic Sea and therefore thought to be given to Shkodra. Secondly, they thought that the Albanians were not capable of economic development, and change the border to the south in favor of Greece justifying the ethnic, economic and strategic reason. While the central part of Albania which remained from fragmentation. American experts thought it could declare an independent state under the League of Nations Mandate, starting from the idea that Albanians were politically immature.

Although, the Americans knew the strategic goals of Italy to access the control to the Adriatic concession that America experts did Italy consisted of a provisional warrant on Vlora, instead of Italy requiring full sovereignty. But gradually will be clear ascertained that the American attitude towards the Albanian issue in the coming months will undergo with a significant evolution. In this context, in 18 February 1919, in the American project will be seen the first idea of evolution in terms of Greek-Albanian border, in which it admitted that Korca remains within Albanian territory. (Magazine Challenges, 2004)

This attitude of America in Peace Conference connects one side with the pressure of contradictory information on the Albanian issue and on the other hand the fact that British and French commissions were inclined to carve up Albania and establish a balance in the Balkans at the expense of the Albanians. A result of this cooperation and compromise among the Great Powers to settle the issue of the Adriatic with the old tactics will be seen in the memorandum in 9 December 1919.

Here is an analysis of Prof. A. Puto's position of 9 December 1919. "The overall, memorandum of 9 December 1919 was a slightly revised edition of London Secret Treaty. He scored a setback compared to the developments in the Peace Conference and with the efforts of the Great Powers on the same subject. Memorandum also holds even the signature of the American delegation Polk, which pushes the thought that all criticism of President Wilson left aside. Even Albanian hopes got faded." (Puto, 2009) This fading will be expressed very clearly by Prime Minister Turhan Pasha Permeti that was chosen by the government of Durrës. He expressed Wilson the deep disappointment of the Albanian people who had supported all his hopes on the noble principles that were against the partition of territories regardless of the nation rights of the peoples who lived there.

But on 13 January 1920 the European Powers, will review again the Italo-Yugoslav interest. This, was an initiative taken by England and France without the U.S. presence, to resolve the Adriatic on the backs of Albanian territories. Anglo-France-Italian compromise, predicted the partition of Albania. Yugoslavia would take northern Albania, including Shkodra (which would enjoy autonomy) and Greece the region of Korca and Gjirokastra. Belgrade disagreed with the decisions of 13 January, for the fact of his interest (request for Fiume). Belgrade feared empowerment as a powerful neighbor as Italy and not having the support of European powers sought U.S. support by informing the design ultimatum from England and France. Here is how Prof. P. Milo describes the moment: "American were extremely sensible towards Anglo-Franco efforts to deny the U.S. primary role in regulating war affairs". (Milo, 1992).

In the memorandum sent to Washington in 20 January 1920 Lloyd George and Clemanson, note that the path is followed in Fiume issue, was not consistent with the views of President Wilson. In this context, on 22 January in response of the memorandum that Washington sent to the Prime Ministers of England and France, they say they have not removed the American view by stating that: "Details of the administration of the country by Italy, Yugoslavia and Greece were not designed yet and that, at the right moment, will not be left without taking into account the feelings and interests of the future of the Albanian people". (Puto, 2009).

Clearly seen that the challenges for the Albanian issue and its partition. In this act of informing, European Prime Ministers sought at any cost to the U.S. president came in front of a fait accompli. American President stressed that America could not accept a deal that separates northern Albania with Shkodra (Yugoslavia) and in terms of Korca with (Greece) surroundings. In Wilson's reaction shows clearly the release he did in favor of Greece, but he did not mention Gjirokastra at all. Albanian Patriotic Circles would react too harshly with protest notes to his position. After the reaction of Wilson on the Albanian issue, which will be reviewed again at the table in Paris and London governments of 17 February 1920, these powers will come with their steadfast idea that Albania had the ability to be autonomous. Also Albania will be placed on the tenure regime, which fell in full contradiction with the decisions that were taken at the Ambassador Conference in London in 1913. The two Prime Ministers of England and France will leave disappointed by the attitude of the U.S. who does not agree with their idea of Albania. "Washington did not agree with any of the schemes of partition of Albania, Paris and London propose. Twice during the month of February and finally on 6 March 1920 he

insisted on the development of Italian- Yugoslav talks to resolve the Adriatic Issue severing of their problems. " ( Milo, 1992).

Wilson statements in the months of January-March of 1920, were vital to the future of the Albanian people. Position held by these statements he reached what the Albanians could not stop in 1913, he managed to curb for the first time Albania's further dismemberment. Evolution that will suffer the Wilson residence to the Albanian question will come as a result of the impact of a variety of factors, external factors and international factors.

Among external factors the most important issue related directly to the Adriatic, were the European powers tried to finalize their projects back wings of Washington, putting it before the fact to perform. ( Macmillan, 2006). According to Prof. P. Milo: " *The discrepancy between the attitudes on this issue was part of the whole range of contradictions that divide the U.S from England and France at the Paris Peace Conference*". ( Milo, 1992).

Internal factors that had great importance in changing U.S policy towards the Albanian issue, representing the mass movements of territorial independence seeking ethnic Albanian territorial. Part of this powerful movement and efforts were Albanian patriots at home and abroad, who played an important role in the growth of national feeling. The fruit of this movement is even the keeping of the Congress of Lushnja in January 1920, which will show the world and representatives of the Peace Conference, constituent skills and readiness to defend its territories from a new fissure. These important events taking place in Albania, without doubt positively influenced the evolution of American diplomacy to the Albanian issue.

Albanian National Movement gave a very strong message to America, showing that these people wanted independence and its territorial integrity, relying on his program of *14 points*. Albanian elite in the Congress of Lushnja in January 1920 will form a new government which was established in Tirana and gradually exercised its authority in the entire country and driving out all foreign armies from Albania.<sup>1</sup> Occuring in the course of events, European countries found no power to change Wilson's decision against the Albanian issue. They proposed Italy and Yugoslavia to reach a compromise solution to the issue of Adriatic. Paris Peace Conference would end its developments and decisions on 10 april 1920. ( Puto, 2009).

Upon the request of the Albanian government to accept the league of Nations, with British support in 17 December 1920, Albania will be accepted with full rights to the League of Nations by becoming a member of its 43 and a special merit in this regard will be Fan Noli as President of the official of the Albanian delegation at the League of Nations. Also the Conference of the Ambassadors.

But the questions naturally arises, why a President of a powerful the most powerful state after the First War World to put the veto in favor of a small nation against whom there was no strategic territorial or economic interests?! One question which still even today has not received a complete answer. Perhaps when the Conference was to finalize its decisions to Wilson was consolidated the idea of the practical application of the principle of self-determination, although as he himself said in the late 1919 before the U.S Congress which stated that : "*When i pronounced those words ( that all nations had the right of self-determination),i made this without the knowledge that nationalities existed, which are shown to us day by day*". ( Macmillan, 2006). Also referring to the principles of self-determination Henry Kissinger saidt: " *It soon became clear that practically the principle of self-determination can not be strictly enforced as provided in Fourteen points* ". ( Kissinger, 2009). Maybe in diplomatic terms Wilson made to show the superiority of European states as a triumph over European Countries after World War as well as Eric Hobsbawn claims in his Age of Extrems as it says: " *President Wilson..., whose thoughts were seen as representative expression of power without which war would be lost ...*". (Hobsbawn, 1997). and also assess the need to counter the European policy of secret diplomacy.

## References

- Academy of Sciences of Albania, the Albanian People's History, Volume III, Tirana, "Toena" 2007.  
 The United States Department of State, Papers Relating to the Foreing Relations of the United States, Paris Peace Conference.  
 Duka, Valentina. History of Albania 1912-2000, Tirana , "Kristalina KH" 2007.  
 Duka, Valentina. Albanians in the course of the twentieth century, Panteon dhe Afërdita  
 Castellan, Georges. History of the Balkans (XIV-XX century), Tirana 1991, translated from A. Puto and L. Omari.

---

<sup>1</sup>It is worth noting War of Vlora in june of 1920, whose result was the departure of Italian troops eventually by Vlora after the agreement of August 1920

- Hobsbawn, Eric. Age of Extremes abductees of the twentieth century 1914-1991, Central European University Press 1997.
- Peters, Markus. Facing the History of the Catholic Church in Albania 1919-1996, translated from German, Klaudja Darragjati. Tirana 2010.
- Puto, Arben. *Political Albania 1912-1939*, Tirana, "Toena" 2009,
- Kissinger, Henry. Diplomacy, translated from P. Pojani, 2009
- Macmillan, Margaret. Paris 1919 Six months that changed the world, Tirana, "Plejad" 2006
- Meta, Beqir. *Albanian Federation "Vatra"*, Tirana 2001.
- Milo, Paskal. Albania and Yugoslavia 1918-1927, Tirana, 1992.
- Newspaper "People", 12 mars 1919.
- Newspaper "People", 5 maj 1919.
- Newspaper "Sun", 3 qershor 1919
- Magazine "Challenges", nr. 3, 2004
- Magazine "The Adriatic Review". Boston 1918-1919

## The Problems of Secularism in the Albanian School System in 1920 -1930's

Dr.Candidate. Lorena (Gjini) Dervishi

Email: gjinilorena@yahoo.com

---

**Abstract:** After the First World War, the internal situation in Albania was very heavy. Education in Albania developed under the influence Italians, Austro – Hungarians and French in areas where they had control during war. By creating Lushnja government, education problems begin to be treated with priority by the Albanian State. Thus the period from 1920 to 1935, characterized by a long struggle for unification, nationality and secularism of the school system. In this period, three pedagogical congresses were formed (1920, 1922, 1924) as well as an educational reform that will be entered in the history of Albanian education as the "Ivanaj reform." As unification, nationalism and secularism served to aid the emancipation and development of education in Albania's school system and society; for this reason, it is important to research, understand, and acknowledge this period. Many studies have addressed the problems of secularism and nationalization within school unification and their efforts have been recognized; however, we think it would be helpful to make a new analytical overview of these problems which manifested the development of education in the aforementioned period based on previous studies and research.

---

The most important moment regarding the first secular (laic) Albanian school occurred in 1887, with the opening of the first national school in Korce (7.03.1887). Unlike other schools, students and teachers who participated in the secular school were not held to one belief or one religion. This was a considerable progress in Albanian's educational development. Secular schools of this time can be characterized by the fact that there was no cultivation or teaching of religion or religious symbols.<sup>1</sup>(*Gjurmime albanologjike* Pristina 1988, p.70-71) In the first years of independence, patriotic intellectuals facing difficult economic and financial conditions aspired for an educational Renaissance for the opening of Albanian schools all over the country. Unfortunately, Albanians did not enjoy independence for a long period. The Balkan war began, and since Balkan countries were the war initiators, Albania could not escape without turning into an arena of war. By the end of the war, Albania was ruled by Austro-Hungarians, French and Italians. However, it is worthy to mention that the invaders took note of education in Albania.

### The Educational Congress of Lushnja

After the war, serious effort for the development of education relates to: The Educational Congress of Lushnja, which began work on August 15th, 1920. 13 distinguished experts in the field of education and Albanian schools (i.e. Aleksandër Xhuvani, Ahmet Gashi, Ilia DiloSheperi, Gasper Mikeli, Thoma Papaphano, Ismail Anamali, Aleko Kondili, Dhimitër Mborja etc). Its president was elected Alexander Xhuvani<sup>2</sup> (Alexander Xhuvani was born in 1880. He studied at the Philological University in Athens. He taught in the first national high school, Normalen Elbasan (1909). He fought for a national secular school for continuous improvement. A. Xhuvani worked his entire life with love and perseverance for the recovery and progress of national education, the release of the Albanian language and the Albanian culture. He died in 1961.). On August 25-28 congress was held, in the main hall of the Lushnja school.

The main programs' issues included the following:

- The need for publication of textbooks as the singing books, the grammar of numerator etc..
- The issue of a common language textbook
- Publication of an educational magazine
- Detailed documentation of the school (daily record for each class, the number of record etc.)
- Assignment of traveling teachers (itinerary) in each county to teach children in those villages where there was no school.

Assignment of key terminology for various disciplines (then called technical corners) indicates that in the center of outputs has been the fundamental idea for the unification in structure, content, and method.<sup>3</sup>(*Historia e arsimit dhe mendimit pedagogjik shqiptar*, vol.I, Tirana:ISP.print."Nënë Tereza" 2003, p.397)

Since the beginning, it was decided unanimously that the new education system would be unified- same and equal for all schools in Albania, whether state or private. They would function with the same curriculum, with the same education program, with the same texts set by the Ministry of Education.

Specifically, it was decided that the highest degree of public education would be the Ministry of Education, which should have the educational council "consisting of two tribes of Albania"<sup>4</sup>(H.Kolliqi,*Historia e arsimit dhe e mendimit pedagogjik shqiptar*,Pristina:Libri Shkollor,2002, p.345).

This should be done as soon as possible, in order that more schools were governed by national and knowledgeable people. In town, the classes were four or five, while in the village had three classes. In cities, the schools would operate "urban" schools with three classes over the elementary.

The school year structure was determined also determined at the time. Another important task for patriotic intellectuals was to protect Albanian schools division from religion. They decided the school's yearly structure must be followed by all Albanian children regardless of religion.

The congress decided that all private schools and religious community school programs operated by state were under the control of the Ministry of Education. In the Educational Congress of Lushnja, the problem education extension was also addressed. It was expressed repeatedly the citizen's request for school. It was decided to open universities in the country's leading centers such as Korca, Berat, Tirana, Elbasan and Shkodra.

Also, members of Congress were focused on eliminating illiteracy. Time restraints proved to be one of the leading causes of illiteracy, since most illiterate people were working during the day, Congress recommended opening night courses.

For the first time in this Congress, the teachers were categorized into five different categories<sup>5</sup>(H.Kolliqi,*Historia e arsimit dhe e mendimit pedagogjik shqiptar*,Pristina:Libri Shkollor,2002, p.346). Also, teachers were responsible for keeping school records including: diaries, record books, chronicles of school books, the minutes of meetings, and the minutes of official duties etc<sup>6</sup>.( *Kumtari arsimuer*,no.3-4,1921,p.34).

From this moment in Albanian history, takes the modest origins and development of the Albanian school system held today.

The Educational Congress of Lushnja's decisions defined a path for the development of Albanian schools and influenced its unification, but ultimately couldn't change the situation of education within the confines of these times.

### The Educational Congress of Tirana (1922)

In late May 1922, the Ministry of Education announced the news that in July will be held a Congress, which would take necessary action to eliminate "many defects"<sup>7</sup>(*Revista Pedagogjike*,no.4,1922. p.156) of school in education and culture.

Second Congress of Education began work on July 22, 1922 in Tirana. The meeting was opened by the Minister of Education, Mr. RexhepMitrovica.

A technical committee was formed, at the first meeting, composed of 12 men, who were set to report in writing the work done according to the program points at the general meeting.

The committee's conclusions will be presented and discussed at the general meeting. If they receive the majority of Congress's votes, the decisions will be granted.

The Congress approved these decisions:

1. New system of 6-year primary school and relevant program.
2. Primary education shall be obligatory. The Obligatory education starts at age 6.
3. The elementary schools would be a 4 year term in villages. In those villages where there were large populations, could be placed primary teaching on 6 year terms.
4. Urban schools were removed and replaced with vocational schools which lasted 3 years.
5. Discussion of the establishment of infantshelters.
6. Publication of a pedagogical magazine, which will be in charge of teacher center. <sup>8</sup>(*Historia e arsimit dhe e mendimit pedagogjik shqiptar*,vol.I,Tirana:ISP.print."Nënë Tereza" 2003,p.388)
7. It was decided the collection of linguistic treasury and compilation of an Albanian dictionary.
8. Accepted draft categorization of teachers. <sup>9</sup>(*Fletorja zyrtare*, no.24 date.30.7.1922)

The Congress of Democrats and laics is described as "a holy Congress" <sup>10</sup> (*Besa*,date.18.7.1932), which became the decided unit and neutrality of Albanian school.

## Education Congress in Tirana (1924)

After the arrival of Noli in power, on August 12, 1924 the Educational Congress gathered in Tirana. 33 representative delegates attended from all provinces. During the event, debates took place, and often things were contradictory. Noli knew his continuity was in danger, yet he continued the work and passed a series of important decisions.

Such as:

1. Raising the educational system "in the national democratic basis"
2. Establishing schools "common all over the country and every point of view"
3. For the professional preparation of teachers to build "a provisional school"
4. To improve the existent situation before schools opening, before new schools were open.
5. Most state scholarships are awarded to those "student which needs to pursue educational branch"
6. Education is obligatory for boys and for girls aged 7-years
7. Where possible the establishment of infant centers for children aged 5-7 years.
8. Establishment of a female school and educational assistance for women's culture.
9. Stabilization of the situation in dormitories.
10. Establish a dictionary of the Albanian language.
11. Opening of half Gymnasiums (high schools) in Berat, Durrës and Elbasan.<sup>11</sup>(AQSh,F.MA,ds 23, no doc 7,date.21.8.1924)

During the Zog government (1925-1932) there was little successes in the development of education .Primary education was declared obligatory for both sexes from 6 to 13 years; changes were made in the primary and secondary education, creation of education changes in professional and educational programs, and the opening of schools in all female big urban centers was imposed.

When Hile Mosi controlled Albanian education in 1930, its programs created a complete to escalate the national efforts for a uniformed national school and laic.

The greater education development took place in 1933 when Mirash Ivanaj came at the head of the Ministry of Education. During this time got life the education "reform, which according to him was vital to education in Albania. He was dedicated to his work for the implementation of "reform", but the impact of opposing circles and not supported by Zog ended "Ivanaj Reform", which basically had the purpose of education development, nationalization, unification, national and secularization of the school.

## Ivanaj Reforms

Mirash Ivanaj, a name almost unknown to the today's generations, ranks among the Pleiades of intellectuals who contributed to the '20s - '30 for the emancipation of the Albanian opinion.

Mirash Ivanaj was born on March 12, 1891 in the village BenkajTrepshit zone. In 1913, he began studies at the Royal University of Rome.

His father died when he was two years old, and the Ivanaj began facing economic problems, so he started doing various jobs to live and continue his studies.

In Italy he lived for 10 years (1913-1923). During this time he had finished two faculties of literature and law, being decorated with praise.

On January 12, 1933, Pandeli Evangjeli, presented to the king the list of members of government, where the post of Minister of Education was handed to Mirash Ivanaj.

For some time Ivanaj had been thinking of reforming the Albanian education and taking the promise that no one will interfere in his work, Ivanaj studied the issue of better-known state schools. After prolonged studying of the topic, he presented to the king the need of a mandatory nationalization of private schools. He advocated for Private schools to be accepted by the state and must be an associate of the state in new education.<sup>12</sup>(I.Gogaj, *Mirash Ivanaj, Personalitet i shquar i Universitetit Shqiptar*, Tirana:Erik-Botime,2004,p.92)

According to new law reform, religious education was removed from the school curriculum and was free to develop in other premises. Ivanaj did allow the teaching of morality, which in turn was part of the lesson of life<sup>13</sup>(AQSh,p.295,doc.date.3.7.1935 no.439).

Ivanaj paid attention toward discipline in the school as a primary condition in its development. Even the problem of textbooks, in which he tried hard to reprint some important educational texts. He paid attention to literacy courses, asking teachers to teach volunteers, 4 times a week for two hours a day.

The Educational reform of 1933 was unique in its kind, with a pronounced nationalist spirit. Further, this reform aimed at increasing the scientific base of the Albanian pedagogical schools<sup>14</sup>(.Fatmira Rama, *Dukuri arsimore gjatë Luftës së Dytë Botrore*, Tirana: Argeta-L.MG 2005, p.18)

The closure of private schools brought disappointment to the leaders of these schools, especially within minority areas. March 11-12, 1935 held court on the issue of closing the Greek private schools. The Court came to a decision which presented consultative Council of the League of Nations, where the majority spoke in favor of opening the Greek private schools in Shqipëri.<sup>15</sup>(Besa, date.15.4.1935)

Underground Albanian government to the International Court's decision and the Greek private schools were reopened. Therefore Ivanaj, who had declared he would not accept any interference in his work, once he had filled two and a half years on August 16, 1935 work gave dorëheqjen.<sup>16</sup>(*Historia e arsimit dhe mendimit pedagogjik shqiptar*, vol.I, Tirana:ISP.print."Nënë Tereza"2003.p.340)

And with his departure from Ministerial office closes and a significant chapter in the history of education.

## References

### Archives

Central Archive of the Republic of Albania  
Archive of ISP

### Magazine

"Fletorja Zyrtare", Tirana, 1922  
"Kumtari i Arsimit", Elbasan, 1921  
"Revista Pedagogjike", Tirana, 1972  
"Studime Historike", Tirana, 1987  
"Gjurmime albanologjike" Pristina 1988  
"Besa", Instambul, 1932

### Historiographical literature

Fatmira Rama, *Dukuri arsimore gjatë Luftës së Dytë Botrore*, Tirana: Argeta-L.MG 2005  
I.Gogaj, Mirash Ivanaj, *Personalitet i shquar i Universitetit Shqiptar*, Tirana: Erik-Botime, 2004  
*Historia e Arsimit dhe mendimit pedagogjik Shqiptar*, vol. I, Tirana: ISP. Print."Nënë Tereza", 2003  
*Historia e Popullit Shqiptar*, vol. III, Tirana : AKSH.print. Toena, 2007

## Impact of Behavioral Problems to Special Needs Pupils

**Doc. Donika Dardha**

*E-mail: donikadardha@yahoo.fr*

**Doc. Mariela Burda**

*E-mail: zballco@yahoo.com*

**Prof.asc. Dr. Aleksandra Piluri**

*E-mail: elaburda@yahoo.com*

*“ Fan. S. Noli “ University, Korçe, Albania*

---

**Abstract:** *The object of this study is to investigate the impact of behavioural problems on the special needs of pupils and to come up with some teaching strategies well-suited to these needs. The judgements that teachers make about the special needs of pupils are influenced by their distinctive behavior and movements, the way their attention is distracted and their inability to work in groups. The successful integration of children with learning difficulties depends less on the gravity of the learning problems and is more influenced by the behaviour of the child. If the child follows the rules of his school, he/she does not trouble the teachers and fellow-students, is keen to participate and exhibits a high level of self-management and concentration while performing his tasks. This study will focus on the most common problems found in schools: aggressive behaviour, a low level of concentration, emotional problems, etc. Such behaviour is called primary not only because of its frequency, but also because of its consequences on the learning of the student himself and that of his fellow-student. The methods and strategies that modify behaviour like: the participation of students, the concentration of attention, the management of difficult situations, the cultivation of a good opinion of oneself influence the achievements of the students and the way they use their time at school.*

**Key words:** *special needs, behavioural problems, attention concentration, self-assessment.*

---

### 1. Introduction

The learning problem with all its dilemmas remains a crucial psycho-pedagogical, social and methodological issue with a high theoretical and practical value for the present and the future of the rising generations and of Albanian society in general.

Learning is one of the basic didactic issues; as such it has received the due attention of social and pedagogical thought which in different historical periods has given various answers to its dilemmas in accordance with the respective socio-economic conditions.

The rapidly developing modern society in general and the sphere of education in particular are confronted more than ever by challenges and novelties. The biggest challenge of our schools is to educate open-minded students possessing a broad range of knowledge and a critical mind; citizens of a true European and democratic society, tolerant and altruistic.

The didactic issues of learning in primary education occupy a very important place in the solution of the many interconnected dilemmas which are faced by our education. In fact, the degree to which these issues are successfully resolved determines the success of the education process in higher levels. The achievement made in this field should not make us overlook some other problems like: inability to learn, difficulty of acquisition, secret drop-out, uncritical rote-learning, etc.

Learning how to read and write occupies a considerable place in primary education. An important object of this study is to investigate the causes and factors that impede the learning process and account for low results. A key factor is the behavioural problems that have an impact on the special needs of learning. The integration of pupils who find it difficult to learn depends very little on the gravity of the problem and a lot on the kid's behaviour. If the child follows the school rules, does not cause trouble during classes, then he concentrates on his tasks and shows self-management. Aggressive



behaviour and a low level of concentration are the most common problems with which teachers are faced - problems that require solution.

Another aim of as much importance is the determination of methods, strategies and techniques for the compilation of individualized curricula helpful to this category of children.

These are some of the reasons that led us to carry out such a survey, which analyzes and examines the teaching phenomenon, the premises in which it takes place, the factors that affect it and approaches & methods that must be used to provide a fruitful process and guarantee the well-functioning of school institution in the long run.

Gardner's quotation extracted from his book "The Uneducated Mind" "... we nowadays assess more deeply in comparison with the previous generations how strikingly our growth is deterred by epigenetic factors as well as by institutional actions. However, awareness of such restrictions must not disappoint us. On the contrary, this raising of conscience of our inner nature may serve as a safe guide towards the designation and implementation of a more effective social structure with regard to education." reinforces the significance of this decision-making process.

## 1. The aim of the study

To analyze the nature of learning from the point of view of various psychological theories intending to explain the individual factors that define the "history" of learning.

To explain the role of social factors which influence upon learning so as to modestly and concretely contribute to their improvement.

To make evident the present learning problems, the impact of behavioral problems, to analyze their causes, to assess the main strategies of resolving them.

To determine school responsibilities in teaching children about the learning process.

To draw measurable conclusions important to the advancement of the Albanian educational program.

To set higher expectations in the realm of education and teaching.

The methodology of work

For the selection and definition of the studied topic, the following issues have been taken into consideration:

- a. Learning is an acute socio-psycho-pedagogical phenomenon in the current cultural context in Albania. The availability of rich information sources in this realm. In additto theoretical and specialized resources in psychology, pedagogy and didactics, a lot of other documents and official statistics can be put into use.
- b. Data collection through questionnaires for parents, students and teachers.

In order to achieve the abovementioned aims, a study has been carried out in the "Demokracia" primary school of Korca. Having a unique character, this school consists of 17 elementary classes and 337 pupils; moreover, it is located in the suburbs, and, thus, characterized by significant socio-economical and cultural diversity, as the following table.

1.	The number of pupils with families that live on social assistance	47	14
2.	The number of pupils whose father is unemployed	63	19
3.	The number of pupils whose mother is unemployed	154	46
4.	The number of pupils with one parent in emigration	28	8.4
5.	The number of pupils with both parents in emigration	5	1.5
6.	The number of pupils from a Roma/Gypsy family	97/4	28/1.2
7.	The number of pupils with one parent alive	4	1.2
8.	The number of orphan pupils	-	-
9.	The number of pupils with divorced parents	24	7.2
10.	The number of pupils whose mother/father has a university degree	32	9.6
11.	The number of pupils whose parents have a university degree	22	6.7
12.	The number of pupils whose mother/father has a high school certificate	80	24
13.	The number of pupils whose parents have a high school certificate	72	21.6
14.	The number of pupils whose mother/father has finished secondary education	60	18
15.	The number of pupils whose parents have finished secondary education	72	22
16.	The number of pupils with parents with physical disabilities	4	1.2
1.	The number of pupils with families that live on social assistance	47	14
2.	The number of pupils whose father is unemployed	63	19
3.	The number of pupils whose mother is unemployed	154	46
4.	The number of pupils with one parent in emigration	28	8.4

5.	The number of pupils with both parents in emigration	5	1.5
6.	The number of pupils from a Roma/Gypsy family	97/4	28/1.2
7.	The number of pupils with one parent alive	4	1.2
8.	The number of orphan pupils	-	-
9.	The number of pupils with divorced parents	24	7.2
10.	The number of pupils whose mother/father has a university degree	32	9.6
11.	The number of pupils whose parents have a university degree	22	6.7
12.	The number of pupils whose mother/father has a high school certificate	80	24
13.	The number of pupils whose parents have a high school certificate	72	21.6
14.	The number of pupils whose mother/father has finished secondary education	60	18
15.	The number of pupils whose parents have finished secondary education	72	22
16.	The number of pupils with parents with physical disabilities	4	1.2

**Table 1:** Information about the family situation of pupils at “Demokracia” school

The study was carried out among 150 subjects in this school, including 17 teachers, 60 pupils with learning difficulties, their parents and the social workers. In order to collect the above data, questionnaires were delivered and the selected subjects were asked to complete them individually.

## 2. Identification of the learning difficulties and issues of the special needs for the primary school pupils

Psychological theories of the cognitive, social and moral development try to explain a number of proper age characteristics which influence the learning processes of the young pupils. These general traits of age development constitute the ground principles over which the curricula, the teaching programs and the textbooks are compiled. They do also define the objectives and the teaching methodologies that enhance successful learning.

Furthermore, it is not possible to deny the relevance of the fact that learning is an individual process that is defined by the individual qualities, needs, aptitudes, talents, wishes, self-assessment, self-motivation, character and personality.

Because of these individual features, the pupils reflect behavior problems like the lack of attention, inability to work in groups, lack of concentration, inappropriate planning attitudes, difficulties in understanding the learning tasks; as well as emotional problems, like fear from failing, low self-assessment, anxiety, need for support and encouragement, communication problems, etc.

Most of the teachers consider the term “special needs” a specifying term for retarded pupils with disabilities. Behavior difficulties have been excluded from the special needs. However, there exists a mutual influencing intercourse between the learning special needs and the behavior ones.

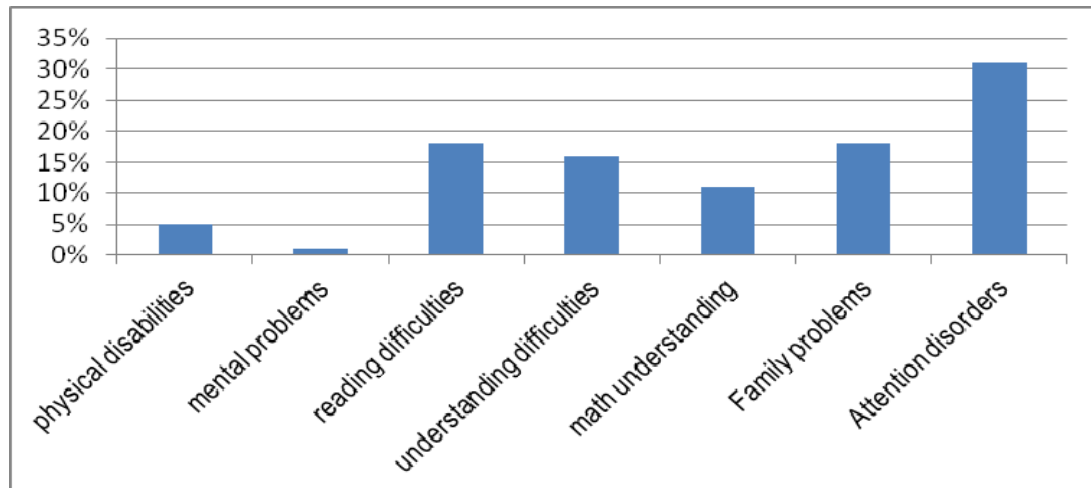
The aggressive behavior and the lack of concentration head the list of common problems among pupils at school. They require immediate solutions not just because of their frequent occurrence, but because of their negative influence on the learning process of the pupil who manifests them and that of his classmates.

Pupils who behave aggressively tend not to collaborate, they reflect signs of anxiety and denial; they are hyperactive and inattentive; tend to contradict the teachers and have an hostile attitude toward the others.

The successful learning depends on the time pupils need to complete a task without losing their concentration. For pupils with learning difficulties the intercourse between concentration and progress is critical. As the survey among the school teachers revealed, the lack of concentration headed the lists of the drawbacks for the learning needs with more than 31%.

**Graphic 1:** Reasons that brought about special learning needs according to the teachers' point of view.

5% - physical disabilities	11% - mathematical understanding
1% - mental problems	18% - Family problems
18% - reading difficulties	31% - Attention disorders
16% - understanding difficulties	



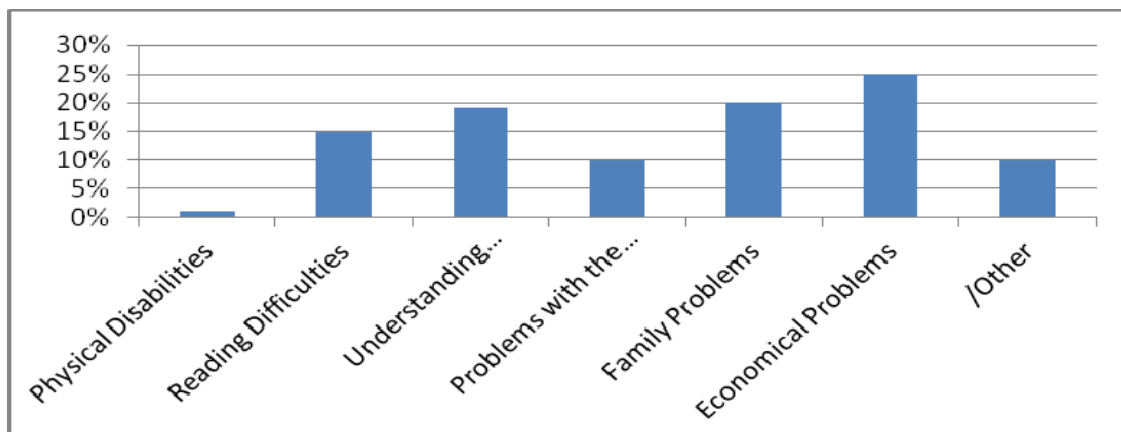
**Source:** Surveys carried out with the teachers of “Demokracia” school

These pupils spend less time learning than their classmates. The work with them should be organized on appropriate lesson plans designed to fit their individual needs and their learning difficulties.

In this respect, teachers should primarily recognize the source of the lack of concentration, by trying to understand the inner problems like understanding or memorizing problems, speaking, listening or reading difficulties, sight problems, cognitive or communication drawbacks, etc.

As revealed by the graphics 1 and 2 16% of the teachers and 19% of the parents think that the inability their pupils of children have in understanding concepts is the main source of the learning difficulties in reading (18%) and maths (11%) (graphic 1)

**Graphic 2.** Reasons that brought about special learning needs according to the parents’ point of view.



**Source:** The questionnaire was undertaken with the children of “Demokracia” school

The second step is closely connected to other factors identified within the family, school and peer group which share the same learning difficulties.

The family takes a wide position in the scientific research concerning school held in the developed countries. This scientific research has shown in most of the cases that there is a little influence pressed by the school onto the child who has gained an independency as a result of his origin and social context. Consequently, the inequalities result to the children from their families, neighbors and the environment and they are conveyed for a long time becoming, therefore, inequalities carried on and confronted when they are grown up after finishing the school.

The study of the family factor held by various sociologists and educational specialists has brought to light a considerable number of other factors among which we can mention:

- the economical level

- the number of the children within a family
- or the relationships between parents (which we would consider as the most important one)

The collected data from school statistics (Tab. 1) display the fact that the above mentioned ingredients result into the most important potential reasons for the learning difficulties and precisely for the incapacity to understand and follow attentively the learning process.

Therefore, 217 pupils (65%) are children with one unemployed parent, 30 children (9%) have one or both parents in emigration.

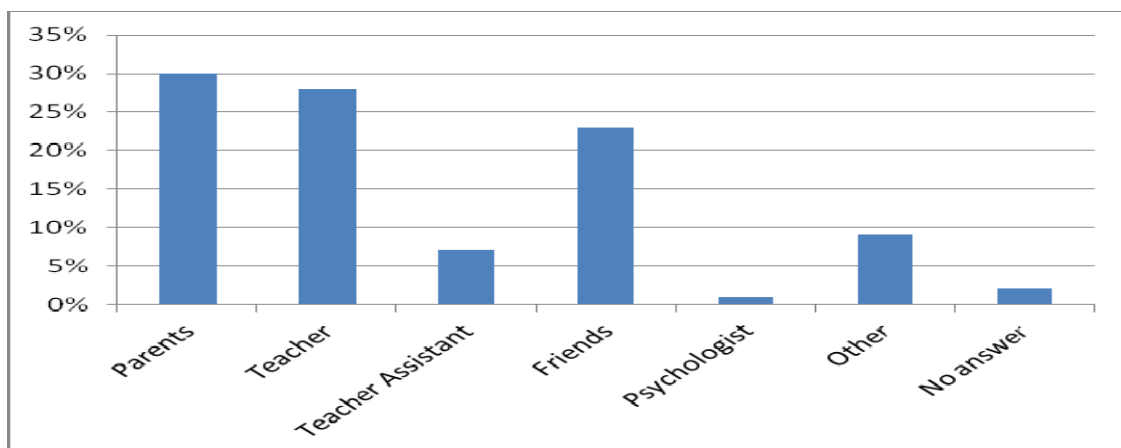
### Family Socio-cultural Level

The bulk of knowledge and cultural skills inherited by the family are two issues that influence the school success. Let us underline here only the fact that cultural parental heritage are displayed ever since a young age. Bernstein, therefore, in England has conducted various studies which brought him to the conclusion that,

“.... from the moment the language has shown itself to the child, its structure is clearly defined by the family environment....” (B. Bernstein, *Social Class and Linguistic Development*, Hasley, 1961, pg. 196, 293)

Other similar studies illustrate that children brought up outside their families manifest a deficiency in the linguistic level (lexical and syntactical) as well as in the usage of abstractions. The arrangement of the linguistic skills depends on the class stratum and social, racial and cultural origin. As it is shown by the data collected in Tab. 1, 101 children (29.2%) are roms and gypsies whose parents display a low or no educational or employment background. 24 children (7,2%) have their parents divorced. Therefore, the linguistic culture of the family is rather low and it is not appropriate to the school scientific culture. In this respect, these children show difficulty in understanding the school teaching material.

**Graf. 3** The children need the help of .....



The children interviewed emphasize the fact that they need the adults (their parents and teachers) and other mates to improve their results at school. Most of these children who do not easily understand their assignments and have problems in speaking and writing come from parents with a low level education. They work long hours and do not spend too much time with their children. About 30% of these children require the attention and help of their parents. 28% also need the help and special care of the teachers. The later, feel very tired, unmotivated and do not have enough time to dedicate to their pupils because of the features of this school and the special needs of the pupils.

The social-cultural differences of these children impact on their communication and interaction, which is not good enough. These reasons explain the need they have for each-other (23% of them state this). This fact is also confirmed by the parents and teachers interviewed.

The children who have problems making friends or having difficulty in behavior and learning have a very low positive opinion of themselves. This is defined as a distinction between the way how these children want to be and the way how s/he recognizes himself. If this gap is great, the child does not feel well for himself, s/he is afraid of failure.

The duty of the school is to change these perceptions that the pupils have for themselves by motivating them while teaching. At the same time they have to observe them positively and encourage them to participate in different special activities where they can feel more capable. In this way, the teachers can manage their pupils' difficulties and skills.

As we have been emphasizing through all our case study, to be different does not mean you are not normal. Accepting these individual differences does not mean accepting that the teachers cannot do anything to change the stressful behavior. On the contrary, it means you have to work hard to modify them. It would be very unfair to consider these children as incapable of learning only because they need different ways of teaching.

For this reason, in a very modest way we recommend:

### **Recommendation**

- Each teacher should know well the personalities of the pupils to whom he talks, explains things and communicates.
- Each teacher should be well informed about other familiar, social and environmental factors.
- Each teacher should take into consideration the features of his pupils' development.

### **Teachers and parents**

- They should collaborate with the school psychologist or other specialized centers which test whether the child has problems with understanding or/and learning, lack of attention and hyperactivity.
- They should also recognize that each child even those who have problems with learning have the right to follow a qualitative education. They need special attention and well-organized specialized work

### **Teachers**

- Should insist on involving all their pupils in teaching and trying to make them participate and not hide.
- Should motivate their pupils, find different of working with them to initiate their desire to get involved actively during the lessons.
- Should compile in collaboration with parents some plan of working with pupils having problems in understanding or/and learning.
- Should encourage the interest, initiative and motivation in different academic activities. They should also have the same level of performance based on their intellectual abilities.

### **References**

- Gardner. H, (2002), Uneducated mind, Tiranë, 2002  
 Gardner. H, (2004), Dimensions of mind, "Nënë Tereza", Tiranë  
 Bernstein. B, (1961), Social class and linguistic development, in Hasley, f. 196,293  
 Piaget. J, (2004), Psychology of intelligence constellation  
 Musai. B,( 2003). Metodologji e mesimdhënie ,Tiranë  
 Montessori. M, ( 1959), Absorbed mind, Theosophical Publishing House  
 Biehler. R, Snowman. J,( 2004), Psikologjia e zbatuar në mësimdhënie, ISP, Tiranë  
 Glenn. A, Cousins. J &...., (2005), Eliminimi i pengesave në të nxënë në moshën e hershme, David Fulton Publishers

## Italian Influence in the Albanian Economy and Society Between First and Second World War

Dr. Sokol Pacukaj

Aleksander Moisiu University, Albania

Email: [sokolpacukaj@gmail.com](mailto:sokolpacukaj@gmail.com)

---

**Abstract:** *Italy and Albania are two countries that considering their geographical proximity, are forced to have continue economic and social relations that date back to the Albanian diaspora led by Giorgio Castriota in Calabria at the end of 1400. The objective of this paper is to reconstruct the main events of the socio economic history of Albania in the period after independence, which was characterized by progressive expansion of Italy in the economic, financial and political fields in the years 1919-1939. As we will see the 'spread of Italian influence will occur in stages, before redirecting the Albanian foreign trade to Italy, then extending to the financial sector with the establishment of central bank Albanian, then to grow in mining, agriculture and industry with the establishment of Italian and Italian-Albanian companies in albanian territory.*

**Keywords:** *influence, hegemony, economy, albanian society.*

---

### Introduzione

All'inizio del secolo, l'Albania faceva ancora parte dell'Impero ottomano. Mentre questo stava ramontando, gli Albanesi si trovarono davanti alla sfida di costruire uno Stato nazionale: impresa non facile sia perché i paesi confinanti avevano ambizioni territoriali sul nascente Stato albanese, sia per la presenza nel paese di forze conservatrici fedeli all'Alta Porta e contrarie all'autonomia dal sultano.

Gli Albanesi, inoltre, avrebbero dovuto recuperare la coscienza di uno Stato nazionale autonomo, il cui ultimo ricordo risaliva a circa cinque secoli prima. L'ottocento, secolo della rinascita del nazionalismo europeo (Hobsbawm 92), non risparmiò l'Albania: tale movimento investì tutti gli strati della società albanese e portò alla dichiarazione di indipendenza del 1912, e in seguito alla formazione di uno stato nazionale albanese. I fattori politici esterni favorevoli alla creazione di uno stato albanese autonomo erano costituiti dagli interessi dell'Impero Austro-Ungarico e dell'Italia: il primo vedeva nel maturo nazionalismo albanese una naturale barriera all'espansionismo slavo nei Balcani, favorito dalla Russia in nome del panslavismo, mentre la seconda era interessata soprattutto alla posizione strategicamente importante – nella triplice accezione geografica, economica e politica dell'Albania.

L'inizio del rapporto di protezione/dipendenza, gerarchia/subordinazione tra l'Italia e l'Albania è testimoniato dai patti che l'Italia strinse con la Triplice Intesa alla conferenza segreta degli ambasciatori a Londra nel 1915: all'Italia sarebbe spettato il protettorato sull'intera Albania e l'annessione di Valona e dell'isola antistante di Saseno. L'interesse politico ed economico dell'Italia verso l'Albania, manifestatosi già prima della guerra mondiale, in funzione anti-austriaca, si consolidò allorché la Conferenza degli Ambasciatori del 1921 riconobbe all'Italia uno speciale "mandato" sulla giovane repubblica balcanica. Nell'immediato dopoguerra, dopo il fallimento dell'accordo Tittoni – Venizelos, l'Italia si era schierata per la conservazione di uno stato albanese indipendente nei confini originari del 1913: questa circostanza, abbinata al "protettorato italiano", avrebbe comportato notevoli vantaggi di ordine politico (contrasto delle aspirazioni francesi nei Balcani), militare (rottura della continuità del possesso di serbi e greci sulla costa orientale dell'Adriatico e controllo dello stretto di Otranto) ed economico (in particolare si riconosceva grande importanza al "valore di transito" del territorio albanese). L'Albania aveva, dunque, un valore strategico per l'equilibrio adriatico e costituiva la porta principale per un'espansione economica verso il Vicino Oriente. Tuttavia le relazioni economiche tra Italia e Albania assunsero un decisivo rilievo soltanto a partire dal marzo del 1925, allorché furono concluse le convenzioni che accordavano all'Italia concessioni petrolifere e l'incarico di creare una banca di emissione. La convenzione per la costituzione della Banca Nazionale d'Albania fu firmata il 15/3/1925 dal Ministro degli esteri albanese, Mufid Bey Libohova, e da Mario Alberti, rappresentante di un gruppo finanziario italiano – in cui figuravano le principali banche del paese – che, su invito della Società delle Nazioni, aveva organizzato l'operazione. Gli accordi furono successivamente ratificati dal parlamento albanese, che il 23 giugno e il 5 luglio promulgò la "legge organica per la Banca nazionale d'Albania" e la legge sul nuovo ordinamento monetario. L'articolo 18 della convenzione, inoltre, prevedeva che la nuova banca di emissione avrebbe dovuto procurare, tramite una società appositamente creata (la SVEA), un finanziamento di cinquanta milioni di franchi

oro allo Stato albanese. Il prestito, destinato alla costruzione di opere pubbliche, sarebbe stato garantito dai proventi delle dogane e dei principali monopoli albanesi. Gli accordi seguivano di due mesi la proclamazione della repubblica albanese con a capo Ahmed Zogu, il quale aveva cercato l'appoggio finanziario del regime per consolidare il suo potere nel paese. Dal punto di vista diplomatico l'ingresso del capitale italiano in Albania fu avallato dai governi inglese e americano, interessati ad ottenere l'adesione dell'Italia al patto di sicurezza per la Renania e, più in generale, a contrastare la crescente egemonia francese in Europa Orientale. La banca fu costituita a Roma il 2 settembre del 1925 ed il suo capitale fu fissato in 12.5 milioni di franchi oro. La distribuzione delle quote azionarie e le norme statutarie assicurarono all'Italia un controllo pressoché totale sulla condotta dell'istituto. Il progetto iniziale prevedeva che il 49% del capitale della banca fosse riservato a cittadini privati albanesi, il 26% al gruppo italiano, e la restante quota ai gruppi svizzero, belga e jugoslavo; di fatto, invece, questa distribuzione venne a modificarsi perché le azioni spettanti agli albanesi furono attribuite all'Italia e, per alcuni accordi intercorsi tra Alberti e la Banca Commerciale di Basilea, la partecipazione italiana finì con l'attestarsi intorno all'80% del capitale. Inoltre fu assicurata l'indipendenza dell'istituto dal governo albanese, fu fissata la sede legale a Roma e fu attribuita la presidenza ad un italiano.

La politica generale della banca sarebbe stata dunque condotta in Italia, da organi sociali a maggioranza italiana; l'amministrazione dell'istituto fu affidata ad Amedeo Gambino, che avrebbe operato in contatto con i direttori delle filiali in Albania. La convenzione prevedeva l'introduzione di un nuovo sistema monetario e la creazione del franco albanese, che fu agganciato all'oro secondo la vecchia parità dell'unione monetaria latina (0,290322 grammi per franco). La Banca Nazionale d'Albania, pur essendo tenuta per statuto ad adeguarsi al gold exchange standard, operò fin dall'inizio in regime di gold standard, assicurando la piena convertibilità in oro delle proprie banconote. La possibilità di mantenere il tallone aureo nonostante il persistente deficit commerciale del paese si fondò evidentemente sul cospicuo afflusso dei capitali italiani in Albania e sulla moderata espansione della circolazione albanese.

L'ordinamento bancario e monetario albanese rappresentò un notevole piano di "ingegneria finanziaria", congegnato dall'Alberti, che riuscì a conseguire i seguenti importanti obiettivi: diffondere l'impiego della banconota e dell'assegno in un paese che non aveva mai avuto in passato alcuna esperienza di banca ed in cui erano inosservate anche le principali forme di legislazione commerciale e tributaria; preservare allo stesso tempo la stabilità della nuova moneta evitando tendenze inflazionistiche.

La politica monetaria piuttosto restrittiva della Banca Nazionale d'Albania fu subordinata – come si documenterà più avanti – agli obiettivi politici del regime e alla difesa della lira sui mercati valutari. Del resto tale politica veniva giustificata anche dal fatto che la banca, essendo al contempo istituto di emissione e di credito ordinario, doveva ridurre al minimo i suoi rischi e in considerazione delle scarse possibilità di investimento offerte dalla arretrata economia albanese. Ulteriore obiettivo da raggiungere attraverso la Banca Nazionale d'Albania consisteva nel rastrellare le monete metalliche (d'oro e d'argento) utilizzate in passato nel paese sia per effettuare pagamenti sia come forma di risparmio tesaurizzato, incorporandole nelle riserve dell'istituto a copertura della nuova circolazione di banconote.

## 2. Il prestito del 1925 per lavori pubblici

La Società per lo Sviluppo Economico dell'Albania, che la banca di emissione, in base alle convenzioni del 1925, si impegnò a fondare, avrebbe dovuto concedere allo stato albanese un prestito destinato all'esecuzione di opere pubbliche e garantito dai proventi delle dogane e dei monopoli del paese. La SVEA fu in realtà costituita a Roma prima della Banca Nazionale d'Albania (il 23/4/1925) e circa un mese dopo (il 29/5/1925) furono firmati gli accordi tra il governo albanese, il gruppo finanziario italiano e la stessa SVEA per regolare i restanti aspetti del finanziamento.

Il prestito, nelle intenzioni originarie degli organizzatori italiani, avrebbe dovuto essere emesso in obbligazioni intestate alla SVEA fruttanti l'interesse del 7.5 %, da collocarsi sul mercato italiano e sui principali mercati esteri. L'operazione avrebbe così rivestito una connotazione internazionale e, nel contempo, avrebbe alleviato l'onere a carico del Tesoro ripartendo i titoli tra i risparmiatori italiani e stranieri. Tuttavia i tentativi di collocare il prestito sul mercato si rivelarono del tutto fallimentari; anzi, l'insistenza di Mussolini rischiò seriamente di mandare all'aria negoziati allora in corso con la finanza americana per la concessione del prestito Morgan destinato alla stabilizzazione della lira. La audace strategia di espansione finanziaria in Albania era peraltro condannata anche dalle principali autorità monetarie italiane (Stringher e De Stefani), intente a contrastare la caduta della lira sul mercato dei cambi nei burrascosi mesi centrali del 1925<sup>14</sup>. Si riuscì in ogni caso a rimandare l'emissione del prestito al 12 novembre, provvedendo ad un "collocamento provvisorio" presso l'Iscambi, che in definitiva si accollò l'integrale onere dell'operazione, pari a 242.794.000 lire. Il prestito, accreditato a Roma presso la sede centrale della Banca d'Albania, sarebbe stato gradualmente erogato in relazione al progressivo sviluppo dei lavori pubblici previsti. L'operazione, voluta personalmente da Mussolini, aveva carattere squisitamente politico: perfettamente consapevoli della scarsa capacità di pagamento dell'Albania, i

rappresentanti italiani miravano a rivalersi sulle garanzie del prestito per poter ottenere il controllo prima sul commercio e poi sull'intera amministrazione del paese.

L'eventualità della inadempienza albanese veniva quindi non solo tenuta in considerazione, ma addirittura considerata fin dall'inizio delle trattative la necessaria premessa per la realizzazione di vantaggi di tipo politico.

D'altra parte il governo albanese, avendo intuito le intenzioni italiane e conscio delle implicazioni politiche della sua inadempienza, rifiutò di pagare le prime rate del prestito, avanzando assurde richieste di facilitazioni e trincerandosi in un atteggiamento ostruzionistico che non rendeva possibile l'avvio del programma di costruzione di opere pubbliche.

Data la stasi dei lavori, nel biennio 1926-1927 furono accordate su istruzioni del governo italiano (rappresentato in Albania dall'ambasciatore a Durazzo, il barone Pompeo Aloisi) numerose e larghe agevolazioni alla controparte, tanto che Amedeo Gambino sottolineava come "tali concessioni facessero sì che, pur non pagando il governo albanese alcuna rata a rimborso del prestito, il suo stato di morosità tardava a manifestarsi perché in pratica le rate dovute venivano bilanciate dalle concessioni da parte della SVEA. Si era giunti così alla paradossale situazione in cui il beneficiario del prestito rallentava di proposito l'avvio dei lavori e il creditore accordava ampie facilitazioni per compierli. D'altronde la linea di condotta "conciliante" voluta dal regime era motivata dal fatto che la materiale esecuzione delle opere pubbliche veniva considerata "la condizione fondamentale per dar forza agli eventuali diritti coercitivi italiani" e "il fondamento morale e politico per i diritti sui pegni del prestito" e dal fatto che proprio in quei mesi si stavano svolgendo le trattative per la conclusione del "trattato di alleanza difensiva" del 22 novembre 1927, che avrebbe definitivamente inserito la giovane repubblica balcanica nell'orbita politica italiana, in funzione antislava e antifrancese. La strategia imposta dal regime vide peraltro contrari i dirigenti della banca Nazionale d'Albania e della SVEA, in primo luogo Mario Alberti, che auspicava il mantenimento di criteri strettamente privatistici nella conduzione della società e lo sblocco di una situazione divenuta troppo onerosa per il Tesoro italiano. La conclusione dell'empasse si ebbe soltanto con la firma dell'accordo di moratoria del 28/2/1928: con esso l'Albania si impegnavano a dare "rapida esecuzione

ai lavori" e l'Italia esonerava il governo albanese dal pagamento delle somme dovute fino al 1929, riducendo inoltre i pagamenti per gli anni 1930-1932. Nell'assegnazione dei proventi del prestito (tabella 1) si diede importanza preminente alla costruzione di infrastrutture: oltre al porto di Durazzo, che assorbì oltre 32 milioni di lire, i fondi furono destinati alla costruzione di strade (per circa il 54% del totale) e di numerosi ponti (25% del totale). Notevole importanza rivestì inoltre la costruzione di edifici pubblici, alcuni dei quali costituirono opere di esclusivo interesse politico, in quanto esse potevano "anche solo con la loro appariscenza portare lustro e documentazione all'azione realizzatrice dell'Italia in Albania". Dal punto di vista economico si trattò dunque di un insieme di investimenti a redditività fortemente differita nel tempo o addirittura nulla, sui quali comunque si fondò il più vasto ed organico programma di sviluppo e valorizzazione delle risorse economiche albanesi avviato dopo il 1939.

**Tabella 1: Impiego del prestito SVEA (dati in milioni di lire italiane)**

Anni	Strade	Ponti	Edifici pubblici	Porto Durazzo	Altre opere e studi	Totale
1925-26	---	2,7	---	---	---	2,7
1927	2,3	1,1	1,4	0,5	---	5,3
1928	0,3	3,9	2,3	1,4	1,0	8,9
1929	3,5	19,7	7,6	2,6	1,9	35,3
1930	14,5	10,4	14,1	5,4	2,6	47,0
1931	25,8	8,8	9,8	10,7	4,3	59,4
1932	14,9	2,2	1,8	7,6	0,7	27,2
1933	7,7	1,1	2,4	3,0	1,0	15,2
1934	2,4	1,4	0,6	1,2	0,5	6,1
1935	0,5	1,1	0,3	---	0,4	2,3
1936	0,1	1,7	0,2	---	0,2	2,2
1937	1,9	0,9	0,7	---	0,5	4,0
1938	0,2	0,5	0,5	---	0,1	1,3
	74,1	55,5	41,7	32,4	13,2	216,9

**Fonte:** A. Gambino, "Le relazioni economiche tra l'Italia e l'Albania", in Rivista internazionale di scienze sociali, 1940. All'ammontare totale dei fondi (216,9 milioni) deve essere aggiunta la quota di 25 milioni di lire destinata, secondo le convenzioni, al pagamento delle prime due semestralità del prestito.



Col r.d.l. 1699 del 19/9/1935 la SVEA mutò ragione sociale in Società Finanziamenti Esteri (SOFINES), in linea con i nuovi compiti assegnati dal Ministero delle Finanze alla società, riguardanti più ampiamente il sostegno finanziario alle iniziative di politica estera dell'Italia nel bacino danubiano balcanico. Da allora, e soprattutto dopo l'occupazione italiana dell'Albania, la società si specializzò nel credito a medio e lungo termine ed assunse diverse partecipazioni societarie anche al di fuori del paese. Il governo albanese non avrebbe fatto fronte che in minima parte ai pagamenti per il prestito del 1925: messo in mora nel 1932 a seguito del raffreddamento dei rapporti tra il regime e Zogu, fu restituita fino alla seconda guerra mondiale solo l'esigua cifra di 2 milioni di franchi oro.

### **3. L'espansione bancaria: l'ingresso in Albania del Banco di Napoli e della BNL**

Il tema del potenziamento della struttura bancaria italiana in Albania alla fine degli anni Trenta merita una considerazione particolare: l'espansione bancaria italiana fu dettata oltre che da esigenze politiche, anche dalle più accentuate esigenze creditizie del paese, determinate dall'aumento della circolazione e degli investimenti. La Banca Nazionale d'Albania aveva raggiunto risultati soddisfacenti diffondendo l'uso della banconota e stimolando una moderata crescita di circolazione, depositi e conti correnti. Ma se dal lato della raccolta erano affluite presso l'istituto le giacenze di cassa del ceto commerciale e i risparmi – prima tesaurizzati – della popolazione, la politica creditizia della Banca d'Albania si era mantenuta in limiti piuttosto restrittivi, “dato il suo carattere di banca di emissione” e dato “lo stato dell'economia albanese che non offre base per gli impieghi a breve termine e di tutto riposo per importi maggiori di quelli raggiunti dalla banca”. L'opportunità di conferire un maggiore sviluppo al settore agricolo, parte preponderante dell'economia albanese, aveva quindi sollecitato, nel corso del 1936, la fondazione di un istituto pubblico di credito agrario, la Banca Agricola dello Stato Albanese, il cui scopo era concedere prestiti agli agricoltori a condizioni particolarmente vantaggiose sia a breve termine (per la coltivazione, l'utilizzazione, la trasformazione e la manipolazione dei prodotti; per il pagamento di canoni, affitti e assicurazioni; per anticipazioni su prodotti agricoli ammassati o depositati), che, soprattutto, a medio e lungo termine (per l'acquisto di bestiame, macchine e attrezzi agricoli; mutui per creazione di piantagioni, trasformazioni di colture, per sistemazione di terreni; per la costruzione di pozzi, per l'applicazione dell'elettricità all'agricoltura). L'istituto avrebbe, inoltre, dovuto promuovere la migliore valorizzazione dei prodotti albanesi, contribuire alla stabilizzazione dei prezzi dei prodotti agricoli, predisporre un catasto dei terreni agricoli e ridurre gli oneri amministrativi a carico dell'agricoltore. L'organizzazione della Banca Agricola fu merito di un funzionario del Banco di Napoli, Antonio Frigione, che rassicurò l'opinione pubblica albanese sull'indipendenza del nuovo istituto dal capitale straniero ed in particolare da un eventuale ingresso del Banco di Napoli in Albania. Tuttavia la Banca Agricola non raccolse risultati positivi e fu liquidata nel maggio del 1939; le sue attività furono assorbite dalla sezione di credito agrario del “Banco Napoli Albania”, filiazione autonoma del Banco di Napoli, frattanto sorta con l'appoggio decisivo del governo nel novembre del 1937. La Banca Nazionale d'Albania aveva infatti inizialmente avversato la costituzione di un secondo istituto di credito che, aumentando la concorrenza, ne avrebbe ridotto i modesti utili derivanti dall'attività bancaria. Successivamente aveva cercato almeno di far orientare dalle autorità competenti l'attività del Banco nella sfera del credito agrario a medio e lungo termine, che l'istituto esercitava proficuamente da anni in Italia, salvaguardando le proprie posizioni nel campo del credito commerciale. Dopo l'occupazione italiana dell'Albania anche la Banca Nazionale del Lavoro, grazie al sostegno garantito dallo stesso Mussolini ad Arturo Osio<sup>67</sup>, fu autorizzata dal Comitato dei Ministri ad aprire una filiale a Tirana. La presenza di tre istituti di credito italiani nel paese generò la necessità di costituire un cartello bancario per regolare i rispettivi compiti e sfere d'azione. La convivenza tra i tre istituti fu in ogni caso assicurata grazie al rispetto del principio per il quale Banco Napoli e BNL si accontentarono “sia pure di una congrua aliquota, ma di una aliquota del lavoro svolto” dalla banca di emissione.

### **4. Conclusioni**

La politica economica italiana verso l'Albania fu orientata più alla stabilità che allo sviluppo; durante l'occupazione lo sfruttamento delle risorse aumentò vistosamente, ma senza comportare un avvio di un processo di industrializzazione. Gli stessi investimenti durante tale periodo non seguiranno la logica delle esigenze di redditività e quelli più generali del paese, ma gli interessi delle industrie italiane impegnate nello sforzo bellico. Sulle ragioni di mancato avvio di un processo di industrializzazione, oltre che della voluta complementarità tra le economie – per cui all'Albania toccava il ruolo di fornitrice di materie prime e prodotti agricoli – c'era il tentativo di evitare la formazione di proletariato urbano ostile al regime. Il regime fascista quindi e per la brevità del periodo di tempo durante il quale l'economia albanese fu sottoposta al controllo diretto delle autorità italiane e per l'intento coloniale con cui l'Italia intraprese lo sviluppo della Albania, non innesco né una fase di sviluppo industriale ed agricolo sostenuto, né diede luogo alla costruzione di un civil

service albanese efficiente, data la tradizione della amministrazione pubblica italiana e del retaggio turco in Albania, che avrebbe potuto essere di grande aiuto allo sviluppo della Albania nel secondo dopoguerra. Condizione necessaria dello sviluppo avrebbe dovuto essere la spezzettamento del latifondo agrario, punto politico che costituiva la parte più riformatrice del programma di governo di Fan Noli, ma che proprio per tale ragione fu molto in fretta abbattuto dalle forze conservatrici rappresentate dal successivo governo di Zogu e affossò l'unico vero tentativo della storia politica ed economica albanese di porre l'Albania su un moderno sentiero di sviluppo.

## Bibliografia

### Fonti Archivistiche

Archivio Centrale dello Stato – Roma  
 Archivio Storico della Banca d'Italia – Roma  
 Archivio Storico Banco di Napoli – Napoli

- Asso P.F., "L'Italia e i prestiti internazionali (1919-1931)", in AA.VV. "L'azione della Banca d'Italia fra la battaglia della lira e la politica di potenza", Ricerche per la storia della Banca d'Italia, vol. III, Roma-Bari, 1993."
- Bandera V.N., "Foreign capital as an instrument of national economy policy. A study based on the experience of East European countries between the world wars", Cambridge 1975.
- Berend I.T., Ranki G., "Economic development in East central Europe in the 19th and 20th centuries", New York 1974.
- Biagini A., "Storia dell'Albania. Dalle origini ai giorni nostri". Milano 1998.
- Borgatta G., "Moneta e credito in Albania", Padova 1940.
- Burgwyn H., "Il revisionismo fascista. La sfida di Mussolini alle grandi potenze sul Danubio e nei Balcani", Milano 1979.
- Camera di Commercio Italo - Orientale, "L'Albania economica", Bari 1927.
- Carocci G., "La politica estera dell'Italia fascista (1925-1928)", Bari 1969.
- Castronovo V., "Storia di una banca: la BNL e lo sviluppo economico italiano 1913- 1983", Torino 1983.
- G.P. Caselli, G. TOMA, "La storia economica albanese 1912-1950, in Rivista di Storia Economica, n. 1, 2003.
- Di Nolfo E., "Mussolini e la politica estera italiana 1919-1943", Padova 1960.
- Feinstein C.H., Watson C., "Private international capital flows in Europe in interwar period", Cambridge 1995.
- Franzinetti U., "I Balcani 1878-2001", Roma 2001.
- Frasca Polara P., "Il commercio e la politica degli scambi in Albania", in Rivista di politica Economica, 1932
- Gambino A., "Le relazioni economiche tra l'Italia e l'Albania", in Rivista internazionale di scienze sociali, 1940.
- Jacomoni F., "La politica dell'Italia in Albania", Bologna 1965.
- La Marca N., "L'Italia e i Balcani tra le due guerre", Roma 1979.
- Notel R., "International credit and finance", in "The economic history of Eastern Europe 1919-1975", Oxford 1989.
- S. Pollo, A. Puto, "Historie de l'Albanie des origines a nos jours", Roanne 1974.
- Roselli A., "Italia e Albania: relazioni finanziarie nel ventennio fascista", Bologna 1986.
- Royal Institute of International Affairs, "South Eastern Europe: a political and economic survey", New York 1939.
- Staley E., "War and private investors", New York 1935
- Tamborra A., "The rise of italian industry and the Balkans", in "The Journal of european economic history", 1974.
- Teichova A., "L'europa centro e sud orientale 1919-1939", in "Storia economica Cambridge", volume VIII.



Printed for MCSER in July 2012  
by Gruppo Atena.net Srl  
Via del Lavoro 22, 36040  
Grisignano, VI, Italy  
[www.atenanet.net](http://www.atenanet.net)